SECNAVINST 5000.2B
ASN(RD&A)
6 December 1996

SECNAV INSTRUCTION 5000.2B

From: Secretary of the Navy

Subj: IMPLEMENTATION OF MANDATORY PROCEDURES FOR MAJOR AND NON-MAJOR DEFENSE ACQUISITION PROGRAMS AND MAJOR AND NON-MAJOR INFORMATION TECHNOLOGY ACQUISITION PROGRAMS

Ref: (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(c) MCO 3900.4D, "Marine Corps Program Initiation and Operational Requirement Documents," 31 Jan 91 (NOTAL)
(d) SECNAVINST 5400.15A, "DON Research, Development and Acquisition, and Associated Life Cycle Management Responsibilities," 26 May 95 (NOTAL)
(e) SECNAVINST 5200.35C, "Department of the Navy Management Control Program," 7 Jan 91 (NOTAL)

Encl: (1) Part 1 - Acquisition Management Process
(2) Part 2 - Program Definition
(3) Part 3 - Program Structure
(4) Part 4 - Program Design
(5) Part 5 - Program Assessments and Decision Reviews
(6) Part 6 - Periodic Reporting
(7) Part 7 - Appendices
(8) Part 8 - SECNAVINST, OPNAVINST, and MCO Cancellations
(9) Part 9 - Table of Contents

1. Purpose. To issue mandatory procedures for Department of the Navy (DON) implementation of references (a) and (b) for major and non-major defense acquisition programs and major and non-major information technology (IT) acquisition programs.

2. Cancellation. SECNAVINST 5000.2A, SECNAVINST 5231.1C, SECNAVINST 5711.8A, OPNAVINST 5000.42D, MCO 5000.11B, MCO 5000.22, and MCO P5231.1C, and forms NAVSO 5000/116, NAVSO 5000/117, and NAVSO 5000/118.

3. Background. This instruction implements references (a) and (b) and replaces the canceled instructions of paragraph 2. Reference (a) is implemented by reference (b) through the establishment of a core of fundamental acquisition management policies and procedures for defense acquisition programs and IT acquisition programs. Reference (b) combines the policy and procedures of Department of Defense (DoD) 5000 series and 8120 series directives and instructions. A DoD Deskbook is a companion electronic tool which contains mandatory procedures and discretionary information such as document and report formats, lessons-learned, institutional knowledge, and sage advice. Reference (b) requires the DoD Components to directly implement the policies and procedures contained therein down to the program manager (PM) and the field activity level without supplementation and with minimum DoD Component implementing directives, instructions, regulations, memorandums, and related issuances. Reference (c) contains the Marine Corps requirements generation procedures.

4. Discussion. Enclosures (1) through (7) provide detailed mandatory procedures to implement references (a) and (b). Enclosure (8) lists Secretary of the Navy (SECNAV) acquisition-related issuances; Office of the Chief of Naval Operations (OPNAV) issuances; and Marine Corps Orders (MCOs) which were canceled by this instruction and by SECNAVINST 5000.2A, OPNAVINST 5000.42D, and MCO 5000.22. Enclosure (9) is a Table of Contents. It should be noted that enclosures (1) through (6) and the appendices, annexes, and sections in enclosure (7) have their own set of references that are listed on the front page of the respective enclosure, appendix, annex, or section.

5. Applicability and Precedence. The provisions of this instruction apply to all DON organizations, to all acquisition category (ACAT) acquisition programs including Naval Intelligence and Naval Cryptologic acquisitions, abbreviated acquisition programs, and non-acquisition programs. References (a), (b), and this instruction take precedence over any issuances conflicting with them, except for the Federal Acquisition Regulation (FAR), the Defense Federal Acquisition Regulation Supplement (DFARS), and the Navy Acquisition Procedures Supplement (NAPS).

a. The IT provisions of this instruction do not apply to information technology that:

(1) Is physically part of, dedicated to, or essential in real time to the mission performance of weapon systems; or

(2) Are IT-related supplies.

b. Policy and procedures for the management approval to

create an IT contract, found in SECNAVNOTE 5231 of 20 Aug 93, are not covered in this instruction.

6. Overall Acquisition Process. Where no further DON mandatory implementation procedures are necessary for ACAT I and IA programs and other programs where indicated, the text of reference (b) is not amplified and therefore stands alone to be directly implemented by DON. Where DON mandatory implementation procedures are necessary, enclosures (1) through (6) of this instruction follow the "Part" format of, and amplify, reference (b) for ACAT I and IA programs. For example, enclosure (1) amplifies Part 1, "Acquisition Management Process," enclosure (2) amplifies Part 2, "Program Definition," etc. This instruction also applies to all other DON acquisition and non-acquisition programs. Specific OPNAV and Marine Corps implementation procedures are included in appropriate enclosures and their appendices. The previous concept of "tailoring-out" non-statutory milestone documentation content has been replaced by the concept of "tailoring-in" the content of the non-statutory mandatory milestone information and the discretionary milestone information needed by the milestone decision authority (MDA) to make an informed milestone decision.

7. Responsibilities

a. The Assistant Secretary of the Navy (Research, Development and Acquisition)(ASN(RD&A)) is the DON Acquisition Executive (NAE) responsible for DON acquisition in accordance with reference (d).

b. The DON Chief Information Officer (CIO) is responsible for developing and issuing IT management policies, architectures and standards; evaluating the performance of IT programs on the basis of applicable performance measurements; and advising the Secretary of the Navy regarding whether to continue, modify or terminate an IT program.

c. Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) are responsible for the DON's requirements generation process, operational test and evaluation, readiness, planning and programming to satisfy operational requirements, and providing acquisition logistics support to ASN(RD&A) as well as all the responsibilities listed in reference (d). CNO and CMC IT functional area points of contact (POCs), responsible for initially identifying IT requirements, are listed in enclosure (7), appendix II, annex B, section 7. A periodically updated list of these functional area POCs is also maintained in the Enterprise Map on the Naval Information Systems Management Center home page, "http://www.nismc.navy.mil." CNO program sponsors are responsible for identifying naval warfare and IT program requirements. CNO resource sponsors are responsible for specific appropriation categories and may also have dual responsibility as program sponsors. Note: Wherever "CNO/CMC" is

used throughout this instruction, it should be interpreted to include ", or designee," unless otherwise stated.

d. The Commander, Operational Test and Evaluation Force (COMOPTEVFOR) and Director, Marine Corps Operational Test and Evaluation Activity (MCOTEA) are responsible for independent operational test and evaluation for the Navy and the Marine Corps, respectively.

e. Program Executive Officers (PEOs), Systems Command (SYSCOM) Commanders, and Direct Reporting Program Managers (DRPMs) are responsible for all responsibilities listed in reference (d), administering assigned acquisition programs, and reporting directly to the NAE for such programs. PEOs, SYSCOM Commanders, and DRPMs have authority, responsibility, and accountability for life cycle management of all acquisition programs and weapon systems within their cognizance. PEOs, SYSCOM Commanders, and DRPMs shall implement appropriate management controls as required by reference (a) and in accordance with reference (e) to ensure the policies contained in this instruction are implemented to the maximum extent practical. SYSCOM Commanders shall also provide support, as applicable, to PEOs, DRPMs, and PMs. PEOs, SYSCOM Commanders, and DRPMs are authorized to approve charters for assigned PMs. When an official above a PM exercises milestone decision authority or direction on program matters, the decision or direction shall be documented with a copy forwarded to the cognizant PM and CNO/CMC. The official shall be held responsible and accountable for the decision or programmatic direction.

f. The Director, Navy International Programs Office (IPO) is responsible for formulating, developing, and managing international policy and oversight of the DON’s international research, development, and acquisition (RD&A) security assistance, armaments cooperation, and technology transfer efforts in accordance with reference (d).

g. The Naval Center for Cost Analysis (NCCA) is responsible for assisting program managers in preparing cost estimates, preparing independent cost analyses when requested by the MDA, reviewing Contractor Cost Data Reporting (CCDR) plans, and managing the Visibility and Management of Operating and Support Costs (VAMOSC) data base. NCCA serves as the DON member of the Office of the Secretary of Defense Cost Analysis Improvement Group, manages the DON Cost Analysis Intern Program and Cost Analyst Training Program, and coordinates the DON Cost Research Program.

h. The Naval Manpower Analysis Center (NAVMAC) is responsible for assisting PMs and working with project engineers and designers in preparing initial and follow on manpower requirements estimates, preparing independent manpower impact statements, and reviewing contractor developed manpower

estimates. NAVMAC is responsible for representing CNO (N1) in supporting the PEOs, SYSCOM Commanders, and DRPMs in providing assistance for exploring options that maximize use of technology to reduce manpower, personnel, and training (MPT) requirements and life cycle cost during initial concept review at the initial milestone and throughout design and development. NAVMAC shall provide the PM with subject matter expertise and shall represent CNO (N1) as the primary MPT advisor to the acquisition coordination teams (ACTs) and the integrated product teams (IPTs).

Detailed responsibilities for the foregoing organizations, including those for IT, are found in enclosures (1) through (7). IT functional area POCs are listed in enclosure (7), appendix II, annex B, section 7.

8. Action. DON activities shall:

a. Ensure that the policies, procedures, documentation, and reports as required by references (a), (b), and this instruction and its enclosures are followed.

b. Review existing guidance and instructions and cancel or update to conform with references (a), (b), and this instruction.

(1) Unless prescribed by statute or specifically authorized here, the policies and procedures of this instruction will not be supplemented without the prior approval of ASN(RD&A).

(2) Implementing directives, instructions, regulations, memorandums, and related issuances shall be kept to the minimum.

c. Distribute this instruction to appropriate command personnel.

9. Reports and Form. Required periodic reports are listed in enclosure (6). SF 298 (Rev 2-89), Report Document Page, NSN 7540-01-280-5500, is available from General Services Administration.

/s/
John H. Dalton
Secretary of the Navy

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Part 1
Acquisition Management Process

References: (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(c) NAVSO P-35, "DON Publications and Printing Regulations," May 79 (NOTAL)
(d) OPNAVINST 5290.1A, "Naval Imaging Program (NAVIMP) Policy and Responsibilities," 27 Apr 90 (NOTAL)
(e) SECNAVINST 5420.188D, "Program Decision Process," 31 Oct 95 (NOTAL)
(f) DoD Directive 8000.1, "Defense Information Management (IM) Program," 27 Oct 92 (NOTAL)

1.1 Purpose

1.1.1 General Purpose

This part establishes a model for managing all Department of the Navy (DON) acquisition programs, including information technology (IT) acquisition programs. IT acquisition programs include: automated information system (AIS) programs and IT projects such as implementation of Electronic Commerce/Electronic Data Interchange (EC/EDI), networks, Defense Messaging System, base-level infrastructure, etc., if not already approved as a part of a Department of Defense (DoD)-wide program. The management model acknowledges that every acquisition program is different and the program manager (PM) and the milestone decision authority (MDA) shall structure the program to ensure a logical progression through a series of phases designed to reduce risk, ensure affordability, and provide adequate information for decision-making. See references (a) and (b) for further implementation requirements for all DON programs.

1.1.2 Specific Application

The acquisition process defined in this instruction applies to all DON programs managed by DON organizations, including activities operating on a reimbursable, non-appropriated, or cost-recovery basis. It also applies to programs funded from the Foreign Military Sales Administrative Fund. IT programs funded by direct citation of funds from one or more Foreign Military Sales case(s) are exempt.

Acquisition of electronic publishing, printing, and micropublishing equipment and services which are subject to the Congressional Joint Committee on Printing notification requirement, shall be managed concurrently under both this instruction and reference (c). This instruction does not apply to Visual Information Equipment (VIE), which includes Interactive Videodisc Systems which are governed by reference (d).

1.2 Overview of the Acquisition Management Process

In accordance with reference (e), acquisition coordination teams (ACTs) shall be established by the PM (or the Program Executive Officer (PEO), Systems Command (SYSCOM) Commander, or Direct Reporting Program Manager (DRPM) if the PM has not yet been designated) in coordination with the cognizant Deputy Assistant Secretary of the Navy (DASN) (Research, Development and Acquisition)(RD&A) for acquisition category (ACAT) IC and II programs; ACTs are encouraged for ACAT III and IV programs. The ACT, which is a DON-developed concept, in many respects performs the same roles that the overarching integrated product team (OIPT) and the working-level integrated product team (WIPT) perform for ACAT ID programs. The ACT does not replace the need for a functional integrated product team(s) (IPT), which is intended to address specific functional issues and which may be the only type of team associated with an ACAT III or IV program. The ACT is a team of stakeholders from the acquisition, requirements generation, and planning, programming, and budgeting communities who represent the MDA's principal advisors for a given program. The ACT will participate early and continuously with the PM to develop and implement the acquisition strategy and resolve issues at the earliest time and lowest level.

At program initiation, the PM shall propose, and the MDA shall approve, the appropriate milestones and discretionary information needed in addition to the mandatory information for each milestone. Prior to each subsequent milestone, the PM shall provide the MDA with the opportunity to review and verify the information needs for that particular milestone in view of the program’s status. For those programs where an ACT exists, the ACT shall be used to assist the PM in developing the appropriate milestones and milestone information proposal. The PM is encouraged to use the IPT for this purpose when an ACT does not exist. See paragraph 1.4 for more detailed requirements on the milestone and milestone information tailoring concept.

See reference (b), paragraph 1.2, for implementation requirements for all DON programs.

1.3 Categories of Acquisition Programs and Milestone Decision Authorities

Upon initiation, size, complexity, and risk shall generally determine the category of an acquisition program. The categories are:

1. ACAT I - Major Defense Acquisition Programs (MDAPs)

2. ACAT IA - Major Automated Information System (MAIS) Acquisition Programs

3. ACAT II - major systems

4. ACAT III - selected weapon system and IT ACAT acquisition programs

5. ACAT IV - all other weapon system and IT ACAT acquisition programs that do not meet the criteria of paragraphs 1.3.6.1 or 1.3.6.2

As used in this instruction, a "weapon system" is an overarching term that applies to a host platform (e.g., ship, aircraft, missile, weapon), combat system, subsystem(s), component(s), equipment(s), hardware, firmware, software, or item(s) that may collectively or individually be a weapon system acquisition program (i.e., all programs other than information technology programs).

For ACAT programs that are also joint programs, see enclosure (3), paragraph 3.3.5.3, for implementation requirements.

The DON Acquisition Executive (NAE), in consultation with the DON Chief Information Officer (CIO), shall resolve any question of classification of a program, or potential program, as a weapon system or IT program.

1.3.1 ACAT I

ACAT I programs are MDAPs. An MDAP is defined as a program estimated by the Under Secretary of Defense (Acquisition and Technology) (USD(A&T)) to require eventual expenditure for research, development, test, and evaluation of more than $355 million (Fiscal Year (FY) 1996 constant dollars) or procurement of more than $2.135 billion (FY 1996 constant dollars), or those otherwise designated by the USD(A&T) to be ACAT I. ACAT I programs have two sub-categories. The USD(A&T) designates programs as ACAT ID or ACAT IC. See reference (b), paragraph 1.3.1, for implementation requirements for DON ACAT I programs.

1.3.1.1 ACAT ID (Defense Acquisition Board Programs)

The Under Secretary of Defense (Acquisition and Technology) (USD(A&T)) is the MDA for ACAT ID programs.

1.3.1.2 ACAT IC (Component Programs)

The Assistant Secretary of the Navy (Research, Development and Acquisition) is designated the MDA for ACAT IC programs.

1.3.2 ACAT IA

ACAT IA programs are Major Automated Information Systems (MAISs). A MAIS is estimated by the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence) (ASD(C3I)) to require program costs for any single year in excess of $30 million (FY 1996 constant dollars), total program costs in excess of $120 million (FY 1996 constant dollars), or total life-cycle costs in excess of $360 million (FY 1996 constant dollars), or those otherwise designated by the ASD(C3I) to be ACAT IA. ACAT IA programs have two sub-categories. The ASD(C3I) designates programs as ACAT IAM or ACAT IAC. See reference (b), paragraph 1.3.2, for implementation requirements for DON ACAT IA programs.

1.3.2.1 ACAT IAM (MAIS Review Council Programs)

The CIO in the Office of the Secretary of Defense (ASD(C3I)) is the MDA for ACAT IAM programs.

1.3.2.2 ACAT IAC (Component Programs)

The ASN(RD&A) or designee is designated the MDA for ACAT IAC programs.

1.3.3 ACAT II

ACAT II programs are major system programs that do not meet the criteria for an ACAT I program. A major system is defined as a program estimated by the Secretary of the Navy, as delegated to ASN(RD&A), to require eventual expenditure for research, development, test, and evaluation of more than $140 million (FY 1996 constant dollars) or procurement of more than $645 million (FY 1996 constant dollars), or those designated by the Secretary of the Navy, as delegated by this instruction to ASN(RD&A), to be ACAT II. ASN(RD&A) shall designate ACAT II programs and shall serve as MDA for such programs. There are no IT ACAT II programs. See reference (b), paragraph 1.3.3, for implementation requirements for DON ACAT II programs.

1.3.4 ACAT III

A weapon system program not otherwise designated ACAT I or II and which affects the military characteristics of ships or aircraft or involves combat capability will normally be designated an ACAT III program.

IT ACAT III programs are those that do not meet ACAT IA dollar thresholds, but are estimated to require program costs for any single year equal to or greater than $15 million (FY 1996

constant dollars), or total program costs equal to or greater than $30 million (FY 1996 constant dollars).

PEOs, SYSCOM Commanders, and DRPMs shall designate weapon system and assigned IT ACAT III programs. ASN(RD&A) or designee shall designate IT ACAT III programs not otherwise assigned to a PEO, SYSCOM Commander, or DRPM. For management and tracking purposes PEOs, SYSCOM Commanders, DRPMs, and ASN(RD&A) IT designee shall forward a listing of all programs designated ACAT III biannually to ASN(RD&A) for input into the ASN(RD&A) Acquisition Program listing which will be published on a biannual basis.

PEOs, SYSCOM Commanders, or DRPMs are designated the MDA for weapon system and assigned IT ACAT III programs. ASN(RD&A) or designee is designated the MDA for IT ACAT III programs not otherwise assigned to a PEO, SYSCOM Commander, or DRPM. A PEO, SYSCOM Commander, or DRPM for weapon system and assigned IT ACAT III programs may redelegate MDA to an appropriate flag or Senior Executive Service level.

For weapon system and IT ACAT III programs, mandatory milestone information is discussed in paragraph 1.4 and listed in the table in enclosure (5), paragraph 5.8.

See reference (b), paragraph 1.3.4, for implementation requirements for DON ACAT III programs.

1.3.5 ACAT IV

ACAT programs not otherwise designated ACAT I, IA, II, or III shall be designated ACAT IV. There are two categories of ACAT IV programs: IVT and IVM. ACAT IVT programs require operational test and evaluation (OT&E), while ACAT IVM programs do not. ACAT IVM programs are only monitored by Commander, Operational Test and Evaluation Force (COMOPTEVFOR) or Director, Marine Corps Test and Evaluation Activity (MCOTEA).

PEOs, SYSCOM Commanders, or DRPMs shall designate weapon system ACAT IVT or IVM programs. ASN(RD&A) or designee, PEOs, SYSCOM Commanders, or DRPMs, shall designate IT ACAT IVT programs. ACAT IV designations shall be with the concurrence of COMOPTEVFOR or Director, MCOTEA. When PEOs/SYSCOM Commanders/ DRPMs and COMOPTEVFOR are unable to resolve designation of a weapon system program as a Navy ACAT IVT or IVM program, Chief of Naval Operations (CNO) (N091) shall arbitrate through the Test and Evaluation Coordination Group (TECG) process.

For management and tracking purposes PEOs, SYSCOM Commanders, DRPMs, and an ASN(RD&A) IT designee shall forward a listing of all programs designated ACAT IVT and IVM biannually to ASN(RD&A) for input into the ASN(RD&A) Acquisition Program listing which will be published on a biannual basis.

PEOs, SYSCOM Commanders, or DRPMs are designated the MDA for weapon system ACAT IV programs and assigned IT ACAT IVT programs. ASN(RD&A) or designee is designated the MDA for IT ACAT IVT programs not otherwise assigned to a PEO, SYSCOM Commander, or DRPM. PEOs, SYSCOM Commanders, or DRPMs may redelegate MDA for ACAT IV programs to an appropriate flag or Senior Executive Service level, or to the Program Manager.

For ACAT IV programs, mandatory milestone information is discussed in paragraph 1.4 and listed in the table in enclosure (5), paragraph 5.8. (Note: The criteria for IT ACAT III and IV designation means IT ACAT programs below ACAT IA will only be designated IT ACAT III or IVT.)

1.3.6 Abbreviated Acquisition Programs

Relatively small DON acquisitions and modifications shall normally be designated as abbreviated acquisition programs if they meet all of the following qualifications in paragraphs 1.3.6.1 or 1.3.6.2:

1.3.6.1 Weapon System Abbreviated Acquisition Programs

1. Costs of such programs are less than all of the following thresholds:

(a) $5 million (FY 1996 constant dollars) in total development cost of all contracts for all fiscal years,

(b) $15 million (FY 1996 constant dollars) in total production or services cost of all contracts for any fiscal year, and

(c) $30 million (FY 1996 constant dollars) in total production or services cost of all contracts for all fiscal years.

2. Such programs do not affect the military characteristics of ships or aircraft or involve combat capability, and

3. Such programs do not require an operational test and evaluation.

1.3.6.2 IT Abbreviated Acquisition Programs

1. Costs of such programs are less than all of the following thresholds:

(a) $15 million (FY 1996 constant dollars) in program

costs for any single year, and

(b) $30 million (FY 1996 constant dollars) in total program costs, and

2. Such programs do not require an operational test and evaluation.

1.3.6.3 Common Weapon System and IT Abbreviated Acquisition Program Procedures

Potential ACAT IVT or IVM programs or higher level programs are not to be artificially divided into separate entities for the purpose of qualifying as abbreviated acquisition programs. In addition, ASN(RD&A) or designee, or a PEO, SYSCOM Commander, or DRPM may elect to treat any program, that would meet the above qualifications in paragraphs 1.3.6.1 or 1.3.6.2, as an ACAT program if circumstances, such as testing requirements or risk issues, warrant such a decision, or if ASN(RD&A) or designee, or a PEO, SYSCOM Commander, or DRPM believe that the greater visibility associated with an ACAT designation is justified.

ASN(RD&A) or designee (for assigned IT programs), PEOs, SYSCOM Commanders, and DRPMs shall be responsible for developing policies and procedures for abbreviated acquisition program reviews, tracking, and designating the program decision authority for such programs. The program decision authority shall document the program initiation decision and major program execution decisions. Other organizations (than ASN(RD&A), PEOs, SYSCOM Commanders, and DRPMs) with IT abbreviated acquisition program decision authority will be designated by ASN(RD&A) or designee by separate correspondence. Abbreviated acquisition programs shall not be initiated without funding and a written requirement authorized by CNO (resource sponsor)/Commandant of the Marine Corps (CMC) (CG, MCCDC) as a minimum. For IT abbreviated acquisition programs, the IT functional area point of contact (POC) is responsible for initially identifying the requirement.

In addition, the PM for abbreviated acquisition programs shall conduct a tailored environmental, safety, and health evaluation and provide any other information required by the program decision authority. Also, the PM shall comply with the Planning, Programming, and Budgeting System requirements and configuration management procedures, as appropriate.

For modifications which are designated abbreviated acquisition programs, the actions required by the PM, CNO/CMC, and program decision authority shall be as determined by the most applicable row in the modification table in paragraph 1.4.5.2.

1.3.7 ACAT Designation and Designation Changes

An ACAT designation shall normally be assigned per paragraphs 1.3 and 1.3.1 through 1.3.5 after approval of a requirements document (i.e., mission need statement (MNS) or operational requirements document (ORD)). A proposed ACAT designation shall be provided on the cover of the requirements document. All ACAT designations shall be forwarded biannually to ASN(RD&A) for input into the ASN(RD&A) Acquisition Program listing. Realizing that an acquisition program can be initiated by other means, or change as a result of its development, the content of a memorandum to request a specific ACAT designation, or change an ACAT designation, is provided in this instruction, enclosure (7), appendix II, annex A, section 7 for weapon system ACAT designations; annex B, section 6 for IT ACAT designations; and the Deskbook (DON Section). The PEO/SYSCOM/DRPM/PM/DON CIO, or designee, shall initiate the ACAT designation request.

1.4 Acquisition Phases and Accomplishments

All MDAs should provide for maximum feasible tailoring of programs under their oversight. When appropriate, PMs shall use an ACT to develop a tailoring proposal (for procedures, discretionary milestone information, and the discretionary content of mandatory milestone information) for MDA approval.

At program initiation, and after consideration of the views of the ACT members, where an ACT has been established, the PM shall propose an execution, management, and oversight structure for the program. The proposed structure shall include the appropriate milestones, the level of decision for each milestone, the discretionary milestone information, and the content of the mandatory milestone information needed for each milestone. The PM proposal shall consider the size, complexity, and risk associated with the program. There shall be no requirement for a formal meeting to present the PM proposal, except in cases where the MDA directs such a meeting be held. The MDA shall approve in writing the proposed program execution, management, and oversight structure. The MDA determinations regarding program execution, management, and oversight made at program initiation shall be reexamined prior to each milestone in light of then-current program conditions.

Required milestone information for any DON ACAT I, IA, II, III, or IV program shall be determined using the concept of "tailoring in" (vice "tailoring out") milestone information, i.e., there is no milestone information required beyond: (1) that required by statute, reference (b), this instruction, enclosure (5), paragraph 5.8, and (2) any additional information required by the MDA. The use of ACTs or IPTs in the "tailoring

in" process, with representatives from all appropriate functional disciplines working together, can build successful programs and enable good, informed decision making.

What to "tailor in" in terms of discretionary milestone information and the content of mandatory milestone information will vary for each ACAT program. Regarding milestone information, mandatory information (statutory and non-statutory) cannot be waived. The table in enclosure (5), paragraph 5.8, provides the mandatory milestone information for all DON ACAT programs.

See reference (b), paragraph 1.4, for implementation requirements for all DON ACAT programs.

1.4.1 Determining Mission Needs and Identifying Deficiencies

If the potential solution to a newly identified need could result in a new IT program, the appropriate IT functional area points of contact (POCs) (provided in enclosure (7), appendix II, annex B, section 7) shall review the documented need, coordinate with principal staff assistants (PSAs) for joint potential, and confirm that the requirements defined in reference (f) have been met.

See reference (b), paragraph 1.4.1 for implementation requirements for all DON programs.

1.4.2 Phase 0: Concept Exploration

See reference (b), paragraph 1.4.2, for implementation requirements for all DON programs.

1.4.3 Phase I: Program Definition and Risk Reduction

See reference (b), paragraph 1.4.3, for implementation requirements for all DON programs.

1.4.4 Phase II: Engineering and Manufacturing Development

See reference (b), paragraph 1.4.4, for implementation requirements for all DON programs.

1.4.4.1 Low-Rate Initial Production (LRIP)

For DON programs, the MDA shall determine the LRIP quantity for all ACAT IC, II, III, and IV programs as part of the approval to enter the engineering and manufacturing development (EMD) phase. Determination of exact LRIP quantities may be contingent upon successful accomplishment of LRIP-related exit

criteria established at Milestone II. The LRIP quantity for ACAT III and IV programs shall not be less than one unit and any increase shall be approved by the MDA. Further LRIP restrictions on ACAT IC and II programs are contained in reference (b), paragraph 1.4.4.1. LRIP is not applicable to IT programs; however, a limited deployment phase may be appropriate.

1.4.5 Phase III: Production, Fielding/Deployment, and Operational Support

See reference (b), paragraph 1.4.5, for implementation requirements for all DON programs.

1.4.5.1 Operational Support

See reference (b), paragraph 1.4.5.1, for implementation requirements for all DON programs.

1.4.5.2 Modifications

A modification to any ACAT program, where the modification in and of itself falls below an ACAT I or IA cost level and causes the program to breach an existing acquisition program baseline (APB) threshold, shall result in a revision to the APB and any other program information, as needed, or shall be managed as a separate program at the discretion of the MDA.

For changes that do not breach an APB threshold, but exceed the funding and requirements approved in the latest Future Years Defense Program (FYDP) update, the PM shall submit a funding request to the program sponsor/resource sponsor via the PEO/SYSCOM/DRPM. The program sponsor/resource sponsor shall, as appropriate, authorize the change and provide funding. For changes funded by Defense Business Operations Funds (DBOF) that do not breach an APB threshold, but exceed the funding and requirements approved in the latest budget, the PM shall submit a request to the DBOF activity's commanding officer to authorize the change and approve funding.

See the "Modification Process" table on the next page for appropriate actions by the PM, CNO/CMC, and the MDA. Actions are based on whether or not:

1. An ACAT exists for the program being modified (to answer this question for modifications to an out-of-production program, an ACAT normally does not exist; therefore, a new ACAT designation shall normally be assigned for the modification(s) only),

2. A current APB exists for the program being modified,

3. The modification breaches an APB threshold,

4. The program manager requires additional funding to implement the modification, and

5. The modification cost breaches the dollar threshold for abbreviated acquisition programs as shown in paragraph 1.3.6.

If the modification causes the milestone information to be revised (e.g., APB, ORD, test and evaluation master plan (TEMP), etc.), the affected milestone information shall be revised and approved by the proper authority. Additionally, if the modification causes a change in ACAT level for the ongoing program, an ACAT designation change request shall be submitted for approval. See reference (b), paragraph 1.4.5.2, for implementation requirements for all DON ACAT programs.

Modification Initiation Process

(Pick the row that most closely relates to your ongoing program characteristics and proposed modification)

ACAT exists for pgm being modified ?	APB exists for pgm being modified ?	Mod breaches APB threshold?	Mod requires additional funding?	Mod breaches "Abbreviated Acqn Program" $ threshold? [4/5/]	PM action	CNO/CMC action [6/]	Program Decision Authority or MDA action
YES	YES	NO	NO	YES* or NO	Execute mod	Approve ORD* [2/]	None
NO	NO	N/A	NO	NO	Execute mod	Approve requirement (reqt)	None
NO	NO	N/A	YES	NO	Prepare funding request Execute mod	Approve requirement Provide funding	None
YES	YES	NO	YES	YES* or NO	Prepare funding request Execute mod	Approve ORD* [2/] or reqt Provide funding	None
YES	NO	N/A	NO	YES* or NO	Prepare APB [1/] Execute mod	Approve ORD* [2/] or reqt Endorse APB [1/]	Approve APB [1/]
YES	NO	N/A	YES	NO	Prepare funding request Prepare APB [1/] Execute mod	Approve requirement Provide funding Endorse APB [1/]	Approve APB [1/]
YES	YES	YES	NO	YES* or NO	Revise APB [1/] Revise TEMP [2/] Execute mod	Approve ORD* [2/] or requirement Endorse APB [1/] Endorse TEMP [2/]	Approve APB [1/] Approve TEMP [2/]
YES	NO	N/A	YES	YES	Prepare funding request Prepare APB [1/] Revise TEMP [2/] Execute mod	Approve ORD [2/] Provide funding Endorse APB [1/] Endorse TEMP [2/]	Approve APB [1/] Approve TEMP [2/]
NO	NO	N/A	YES	YES	Prepare funding request Prepare APB [1/] Prepare TEMP [2/] Prepare ACAT [3/] desig request Execute mod	Approve ORD [2/] Provide funding Endorse APB [1/] Endorse TEMP [2/]	Approve APB [1/] Approve TEMP [2/] Approve ACAT [3/] desig request
YES	YES	YES	YES	YES* or NO	Prepare funding request Revise APB [1/] Revise TEMP [2/] Execute mod	Approve ORD* [2/] or requirement Provide funding Endorse APB [1/] Endorse TEMP [2/]	Approve APB [1/] Approve TEMP [2/]

1/ "Prepare APB" is for the original ongoing program if a "current APB" does not exist, or for the "modification only" if the modification is to be managed as a separate program. "Revise APB" is for the original ongoing program. See APB format in reference (b), appendix I.

2/ If a new, or change to an existing, ORD or TEMP is required, see formats for ORD and TEMP in reference (b), appendices II and III.

3/ "Prepare ACAT designation request" is for the "modification only", unless the original program is still ongoing (i.e., in production), in which case the ACAT designation request shall encompass both the original program and the modification(s). See the ACAT designation request and ACAT designation change request content memorandum in enclosure (7), appendix II, annex A, section 7.

4/ $ threshold for "Abbreviated Acquisition Programs" is less than: for weapon system programs, $5M RDT&E, $15M procurement in any one fiscal year, and $30M procurement total; for IT programs, $15M single year program costs and $30M total program costs.

5/ If answer to column 5 is YES*, an approved ORD or ORD revision is required.

6/ For IT programs, endorsement is provided by the IT functional area point of contact, approval is provided by the resource sponsor.

1.4.6 Demilitarization and Disposal

See reference (b), paragraph 1.4.6, for implementation requirements for all DON programs.

1.5 Milestone Decision Points

There are no set number of milestones that an acquisition program must have. For example, it is conceivable that a commercial off-the-shelf (COTS) acquisition strategy could have program initiation at Milestone III and go directly into production or deployment. Yet there are certain core activities that must be addressed at the milestone meeting such as: need validation; requirements generation, alternative solutions; acquisition strategy and baseline; affordability, life-cycle cost, and funding adequacy; risk management; producibility; supportability; environmental compliance; and operational effectiveness and suitability prior to production or deployment. The MDA must rigorously evaluate these matters before making a program decision. The MDA shall establish tailored milestone decision points for each acquisition program as early as possible in the program life-cycle. See paragraph 1.4 for more detailed requirements on the milestone and milestone information tailoring concept.

1.5.1 Milestone 0: Approval to Conduct Concept Studies

See reference (b), paragraph 1.5.1, for implementation requirements for all DON programs.

1.5.2 Milestone I: Approval to Begin a New Acquisition Program

See reference (b), paragraph 1.5.2, for implementation requirements for all DON programs.

1.5.3 Milestone II: Approval to Enter Engineering and Manufacturing Development

See reference (b), paragraph 1.5.3, for implementation requirements for all DON programs.

1.5.3.1 Approval to Enter LRIP

See reference (b), paragraph 1.5.3.1, for implementation requirements for all DON programs.

1.5.4 Milestone III: Production or Fielding/Deployment Approval

Milestone III shall be used to authorize deployment for an AIS including software if such deployment is not otherwise authorized by Phase II exit criteria.

See reference (b), paragraph 1.5.4, for further implementation requirements for all DON programs.

1.6 Integrated Product Teams

See reference (e) for implementation requirements for ACTs for ACAT IC and II programs and when used for ACAT III and IV programs. See reference (b), paragraph 1.6, for implementation requirements for IPTs for all DON programs.

1.7 Review of the Legality of Weapons Under International Law

All potential weapons and weapons systems acquired or developed by DON shall be reviewed by the Judge Advocate General of the Navy to ensure that the intended use of such weapons or systems is consistent with domestic and international law. PMs shall ensure that:

1. All activities that could reasonably generate questions concerning arms control compliance are reviewed before such activity is undertaken; and

2. All potential weapons or weapon systems are reviewed before the award of the engineering and manufacturing development contract and before the award of the initial production contract. No weapon or weapon system may be acquired or fielded without a legal review.

The Judge Advocate General shall maintain a permanent file of all opinions issued pursuant to this instruction.

See reference (a), paragraph D2j, for further implementation requirements for all DON programs.

1.8 Non-Acquisition Programs

The Research, Development, Test and Evaluation, Navy (RDT&E,N) appropriation account funds both acquisition and non-acquisition programs. A non-acquisition program is an effort that does not directly result in the acquisition of a system or equipment for operational deployment. Examples of non-acquisition programs are:

1. Science and Technology Programs.

a. Technology base programs in basic research (6.1) and applied research (6.2).

b. Advanced technology development (6.3) including Advanced Technology Demonstrations (ATDs).

2. Concept exploration or advanced development of **potential** acquisition programs.

3. Systems integration efforts of ATDs or other advanced development articles with **no** directly related acquisition program effort.

4. Management and support of installations or operations required for general purpose research and development use (included would be test ranges, maintenance of test aircraft and ships, and studies and analyses **not** in support of a specific acquisition program research and development (R&D) effort).

Non-acquisition programs, other than technology base programs (6.1 and 6.2), shall use a non-acquisition program definition document (NAPDD) for initiation and control. See enclosure (7), appendix II, annex A, section 6, for weapon system NAPDD requirements, procedures, and format. Technology base programs shall continue using current documentation required by the Planning, Programming, and Budgeting System (PPBS) for control.

CNO (N091)/CMC (MARCORSYSCOM), as supported by the Science and Technology Requirements Committee (STRC)/Science and Technology Working Group (STWG), shall conduct annual requirements-based assessments of all non-acquisition programs. STRC/STWG membership is listed in enclosure (7), appendix II, annex A, section 6.

1.9 Rapid Deployment Capability (RDC) Process and Procedures

This tailored process provides the basis for establishing and the procedures for managing RDC programs.

1.9.1 Objectives of the RDC Process

RDC provides the ability to react immediately to a newly discovered enemy threat(s) or potential enemy threat(s) or to respond to significant and urgent safety situations through special, tailored acquisition procedures designed to:

1. Streamline the dialogue among the requirements community, the PPBS community, and the acquisition

management community.

2. Expedite technical, programmatic, and financial decisions.

3. Expedite, within statutory limitations, the procurement and contracting processes.

4. Provide oversight of critical events and activities.

1.9.2 RDC Initiation and Planning

RDC efforts shall be initiated as follows:

1. A memorandum requesting initiation of the RDC effort shall be prepared by the program sponsor/requirements division, validated by CNO (N8)/CMC (Commanding General, Marine Corps Combat Development Center (CG, MCCDC)), and forwarded to ASN(RD&A) for approval. The memorandum shall contain the following:

a. Brief description of the threat or urgency which compels the use of the RDC process.

b. Description of the requirement, along with a statement that the requirement has been validated.

c. A description of known products (government, commercial, foreign, or developmental) that can provide the capability to correct the deficiency. Provide a preferred alternative, if known.

d. Quantities required under the RDC effort and quantities which might be procured under an ACAT program beyond the initial RDC effort, if known.

e. Identification of funding (amount and source).

f. Required deployment date for RDC units.

g. Description of any development and testing to be accomplished prior to deployment.

h. Description and/or concept of logistics support required to support deployment of the RDC unit(s).

2. ASN(RD&A) shall approve/disapprove the RDC request. If approved, ASN(RD&A) shall assign an RDC program designation identifier, and forward the RDC requirement to the appropriate PEO/SYSCOM/DRPM for planning and execution of the RDC development, test, and deployment program.

3. PEOs, SYSCOMs, and DRPMs shall use the ACT to develop the following:

a. An overall RDC strategy and specific expediting measures.

b. A plan of action and milestones, including any

transition to an ACAT program after the initial RDC effort.

c. A plan for logistics support for RDC units.

d. A plan for PEO/SYSCOM/DRPM oversight of the program while it is under RDC guidelines.

e. A plan for testing prior to deployment, and, if applicable, a general description of testing during transition to an ACAT program.

4. Copies of the RDC strategy and plans, after approval by the cognizant PEO, SYSCOM Commander, or DRPM, shall be forwarded to ASN(RD&A), the appropriate Deputy ASN(RD&A), and the program sponsor.

Part 2
Program Definition

References: (a) DOD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(c) OPNAVINST 3811.1C, "Threat Support to Weapon Systems Planning and Acquisition," 16 May 1995 (NOTAL)
(d) DoD Directive 8000.1, "Defense Information Management (IM) Program," 27 Oct 92 (NOTAL)
(e) DoD Instruction 5100.3, "Support of the Headquarters of Unified, Specified, and Subordinate Joint Commands," 1 Nov 88 (NOTAL)
(f) Chairman of the Joint Chiefs of Staff Instruction 6212.01A, "Compatibility, Interoperability, and Integration of Command, Control, Communications, Computers, and Intelligence Systems," 30 Jun 95 (NOTAL)
(g) MCO 3900.4D, "Marine Corps Program Initiation and Operational Requirement Documents," 31 Jan 91 (NOTAL)
(h) SECNAVINST 5420.188D, "Program Decision Process," 31 Oct 95 (NOTAL)

2.1 Purpose

Use of the mandatory procedures in this part serve to ensure that all acquisition category (ACAT) programs become well-defined and carefully structured to represent a judicious balance of cost, schedule, performance, available technology, and affordability constraints prior to production or deployment approval. See references (a) and (b) for further implementation requirements for all Department of the Navy (DON) programs.

2.2 Intelligence Support*

Life cycle threat assessment and intelligence support for ACAT I, II, III, and IV programs shall be provided in accordance with reference (c).

*Normally not applicable to information technology (IT) programs.

2.3 Requirements Evolution

In their role as user representative, Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) shall identify, define, validate, and prioritize mission requirements, program resources through the Planning, Programming and Budgeting System (PPBS), and coordinate the test and evaluation (T&E) process. This shall require continuous interaction with the Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)) throughout the acquisition process in order to evaluate and appropriately respond to changes in requirements or the PPBS.

If the potential solution could result in a new IT program, the appropriate IT functional area points of contact (POCs) (provided in enclosure (7), appendix II, annex B, section 7) shall review the documented need, coordinate with principal staff assistants (PSAs) for joint potential, and confirm that the requirements defined in reference (d) have been met.

2.3.1 Evaluation of Requirements Based on Commercial Market Potential

See reference (b), paragraph 2.3.1, for implementation requirements for all DON programs.

2.3.2 Evaluation of Requirements Based on International Market Potential

In developing system requirements, consideration shall be given as to how desired performance requirements could be reasonably modified, if appropriate, to permit international cooperation, either through information exchange, research and development international agreements, foreign comparative testing, or industrial cooperation.

2.3.3 CNO Responsibilities

2.3.3.1 Office of the Chief of Naval Operations (OPNAV) Program and Resource Sponsor Responsibilities

For Navy programs, the OPNAV program sponsor, in coordination with the OPNAV resource sponsor, where separately assigned, shall:

1. Act as the user representative,

2. Prepare the necessary requirements documentation,

3. Provide explicit direction with regard to mission and operational requirements generation and changes,

4. Program the funds necessary for proper execution, and

5. Define the thresholds and parameters for operational testing.

The OPNAV program sponsor shall provide the key interface between the requirements generation system, the PPBS, and the acquisition management system. A requirements officer (RO) shall be assigned for each platform or system to provide staff expertise to the CNO in fulfilling his requirements, test and evaluation, and resources responsibilities. ROs shall also interface with the acquisition management system through membership on the program acquisition coordination teams (ACTs)/integrated product teams (IPTs).

At the appropriate milestone, CNO (N4) and the OPNAV program sponsor, or the user's representative if other than the OPNAV program sponsor, shall provide a fleet introduction/ deployment recommendation to the milestone decision authority (MDA).

CNO (N1) shall be the approval authority for manpower and personnel requirements determination.

2.3.3.2 CNO, CNO (N8/N81) Weapon System Responsibilities

CNO (N81) shall coordinate the requirements generation process for achieving mission need statement (MNS) and operational requirements document (ORD) validation and approval. The detailed MNS and ORD documentation and processing procedures are provided in enclosure (7), appendix II, annex A, sections 1 and 3, respectively.

Prior to Joint Requirements Oversight Council (JROC) validation and approval, CNO (N81) shall provide potential ACAT I program MNSs to CNO or CMC, as appropriate, for endorsement. CNO or CMC shall be the ACAT I program ORD validation and approval authority for DON whenever the JROC delegates this authority.

The Deputy CNO (Resources, Warfare Requirements and Assessments)(CNO (N8)) shall review, validate, approve, and prioritize MNSs and ORDs for Navy weapon system ACAT II, III, and IV programs. CNO (N8) shall convene, when appropriate, a Resources and Requirements Review Board (R3B) to perform a review prior to endorsement or validation and approval.

Key performance parameters shall be identified in the ORD and shall subsequently be included in the performance section of the acquisition program baseline (APB). These key performance parameters shall be validated by the JROC (ACAT ID) or CNO (N8) (ACAT IC, II, III, and IV).

2.3.3.3 OPNAV MNS and ORD Development and Processing Procedures

2.3.3.3.1 Weapon System MNS and ORD Development and Processing Procedures

A MNS shall be prepared for Milestone 0, Concept Studies Approval, at which the MDA's approval will be sought to proceed with Concept Exploration. In accordance with reference (e), the Commanders in Chief (CINCs) and the Commander, U.S. Element, North American Air Defense Command (NORAD), who do not have an acquisition executive, shall identify their mission needs to the responsible Service component commander, who shall use the Service's requirements system to validate and satisfy their need. CINC/Fleet Commanders in Chief (FLTCINCs) shall forward proposed Navy MNSs to CNO (N81) for staffing and coordination via CNO (N83).

Operational requirements shall be evolutionary in nature and become more refined as a result of analysis of alternatives and test program updates as the program proceeds. The MNS and its associated analysis of alternatives shall provide the general framework for the derivation of the ORD and the APB key performance parameters at the appropriate approval milestone. The OPNAV program sponsor shall apply the results of the analysis of alternatives to identify performance parameters and potential system(s) which would satisfy the need. Cost as an independent variable (CAIV) concepts shall be considered in tradeoff analyses when conducting analysis of alternatives. CAIV concepts shall be carried forwarded to the APB after finalization of the ORD.

The ORD shall delineate performance parameters and critical systems characteristics, in terms of thresholds and objectives. All Milestone 0/I MNSs and ORDs shall include clearly defined joint interoperability requirements or otherwise explicitly state that joint interoperability is not a requirement. The ORD shall be more detailed than the MNS and shall state specific joint interoperability requirements. Milestone II ORDs shall be updated and shall include appropriate statements on joint interoperability requirements. For all Milestone III ORDs, where joint interoperability is not addressed, and the program is scheduled to undergo operational testing, the sponsor shall prepare a joint interoperability requirements memorandum that defines these requirements or explicitly states that no requirement exists.

All MNSs and ORDs with command, control, communications, computers and intelligence (C4I) issues shall be staffed for review of C4I impact, interoperability, and integration in accordance with reference (f).

2.3.3.3.2 IT MNS and ORD Development and Processing Procedures

See enclosure (7), appendix II, annex B, sections 1 and 3, for MNS and ORD development and processing procedures for IT requirements. MNSs and ORDs for functional IT programs shall also be staffed for review of C4I impact, interoperability, and integration.

2.3.3.4 JROC Documentation Processing Procedures

CNO endorsement of a Navy ACAT I MNS, CNO validation of an ACAT ID ORD, program sponsor validation endorsement of the key performance parameters section of the APB (extracted from the ORD), and approval of the JROC briefing materials shall occur in advance of the JROC meeting. Following JROC validation, the program sponsor shall endorse the ACAT ID APB. Detailed OPNAV APB processing procedures and detailed JROC/CNO/CMC interface procedures for weapon system programs are provided in enclosure (7), appendix II, annex A, sections 4 and 5, respectively.

2.3.3.5 Marine Corps MNS and ORD Development and Processing Procedures

For MNS and ORD development and processing with Marine Corps fiscal sponsorship, see reference (g). The following specific procedures shall apply to Marine Corps programs which have Navy fiscal sponsorship (e.g., aviation programs). MNS/ORDs for these programs shall be developed in accordance with reference (g). Subsequently, the MNS/ORD shall be submitted by the Commanding General, Marine Corps Combat Development Command (CG, MCCDC) to the applicable OPNAV program sponsor, via CNO (N810), for concurrence, prioritization, staffing, and endorsement. MCCDC shall coordinate validation and approval as follows:

1. ACAT I: shall be endorsed by CNO (N8); shall be reviewed by the Assistant CMC (ACMC), VCNO, CNO; shall be approved/validated by the CMC or JROC, as appropriate.

2. ACAT II, III, and IV: shall be endorsed by CNO (N8) and shall be forwarded to CG, MCCDC for final approval and validation processing. CG, MCCDC shall review, approve, and prioritize MNSs and ORDs for Marine Corps ACAT II, III, and IV programs. The ACMC shall validate Marine Corps MNSs and ORDs for ACAT II, III, and IV programs.

2.4 Analysis of Alternatives

An analysis of alternatives, tailored to the scope, phase, ACAT-level, and needs of each program, shall be conducted prior to and considered at appropriate milestone decisions, for all DON programs. The analysis of alternatives aids in resolving MDA issues, and provides the basis for establishing program thresholds, cost and performance trade-offs, and a formulation of the analytical underpinnings for program decisions. See

reference (b), paragraph 2.4, for further implementation requirements for ACAT I and IA programs.

2.4.1 Preparation Responsibilities

2.4.1.1 Weapon System Analysis of Alternatives

1. The cognizant PEO/SYSCOM/DRPM, or cognizant Deputy ASN(RD&A), and CNO/CMC, but not the program manager (PM), shall have overall responsibility for the analysis of alternatives. The program sponsor shall propose a scope of analysis in coordination with an analysis of alternatives IPT, under the ACT where established (see reference (h)). At a minimum, the scope of analysis shall identify the independent activity responsible for conducting ACAT I and II program analyses, a set of alternatives to be addressed, a proposed completion date for the analysis, any operational constraints associated with the need, and specific issues to be addressed. Designation of independent activities to conduct analysis of alternatives for ACAT III and IV programs is encouraged, but not required. The scope of analysis shall be approved at each milestone, as appropriate by: ASN(RD&A) or designee and CNO (N8)/CMC (Deputy Chief of Staff (Programs and Resources)(DC/S(P&R)) for ACAT ID programs; MDA or designee and CNO (N8)/CMC(DC/S(P&R) for ACAT IC, II, and III programs; and MDA and CG, MCCDC/CNO program sponsor (flag level) or designee for ACAT IV programs. See enclosure (7), appendix II, annex A, section 2, for further implementation requirements.

2. A director, responsible for the conduct of the analysis, shall be assigned for each analysis of alternatives. The director must have a strong background in analyses as well as technical and operational credibility.

3. An analysis of alternatives IPT consisting of appropriate members of the core ACT organizations, where established, and any other organization deemed appropriate by the MDA, shall oversee the analysis of alternatives. The analysis of alternatives IPT and the ACT shall be kept cognizant of the analysis development. The analysis of alternatives IPT shall be co-chaired by the cognizant PEO/SYSCOM/DRPM, or cognizant Deputy ASN(RD&A), and the program sponsor or CG, MCCDC. At a minimum, the analysis of alternatives IPT shall receive a briefing of the analysis plan and on the final results, prior to presentation to the MDA. When CNO/CMC requests, the program sponsor shall be responsible for scheduling a formal briefing of the

final results. The analysis of alternatives final results shall be presented in the form of a briefing or a formal report. If a formal report is written, it shall be approved as indicated in the following table:

ACAT ID	ACAT IC, II, and III	ACAT IV
ASN(RD&A), or designee (flag or SES), & CNO (N8) or DC/S (P&R)	MDA, or designee (flag or SES), & CNO (N8) or DC/S (P&R)	MDA , or designee, & Program Sponsor or CG, MCCDC

4. These procedures, tailored as necessary to include other service representatives and formal approval, shall be used for joint ACAT IC, II, III, and IV programs when DON has been designated Lead Service. If the analysis of alternatives is to be supplemented by other service developed analysis, DON shall ensure that the assumptions and methodologies used are consistent across the board.

5. See reference (b), paragraph 2.4.1, for further implementation requirements for ACAT I and IA programs.

2.4.1.2 IT Analysis of Alternatives

See enclosure (7), appendix II, annex B, section 2, for analysis of alternatives preparation and processing procedures for IT systems.

2.4.2 Milestone Decision Reviews

See reference (b), paragraph 2.4.2, for implementation requirements for all DON programs.

2.5 Affordability

1. In addition to ACAT I and IA programs, individual program plans and strategies for new ACAT II, III, and IV programs shall be consistent with overall DoD planning and funding priorities.

2. In addition to ACAT I and IA programs, affordability and life-cycle cost shall be assessed for ACAT II, III, and IV programs at each milestone decision point. No acquisition program shall be approved to proceed beyond program initiation unless sufficient resources, including manpower, are programmed in the most recently approved Future Years Defense Program (FYDP), or will be programmed in the PPBS cycle.

2.5.1 Full Funding of Acquisition Programs Reviewed by the

DAB or MAISRC

See reference (b), paragraph 2.5.1, for implementation requirements for ACAT ID and IAM programs.

2.5.2 Interface with Planning, Programming and Budgeting System

Full funding to support approved ACAT I, IA, II, III, and IV programs shall be included in all program and budget submissions. In addition to establishing and revising operational requirements, CNO/CMC shall ensure funding requirements for ACAT programs, abbreviated acquisition programs, non-acquisition programs, and rapid deployment capability programs are satisfied in the development of each PPBS phase.

FYDP or budgeted funding shall be shown at each milestone (except Milestone 0) or other program review. If the preferred alternative exceeds the FYDP or budgeted funding, then an alternative which can be executed within approved funding (and for IT programs shows an economic benefit or return on investment) shall also be presented.

If the MDA selects an alternative which exceeds FYDP or budgeted resources, then the need for additional resources shall be identified to CNO (N8)/CMC (DC/S (P&R)). CNO (N8)/CMC (DC/S (P&R)) shall forward the recommended resource action to Secretary of the Navy (SECNAV), ASN(RD&A), or MDA, as appropriate, with a copy to ASN(RD&A)(if not the MDA) and ASN(Financial Management and Comptroller) (ASN(FM&C)). SECNAV, ASN(RD&A), or the MDA, as appropriate, shall direct appropriate action.

2.6 Supportability

Support planning shall show a balance between program resources and schedule so that systems are acquired, designed, and introduced which meet ORD and APB performance design criteria; and do so effectively. Support planning, and its execution, form the basis for fleet and operational forces' introduction/deployment recommendations and decisions. See reference (b), paragraph 2.6, for implementation requirements for all DON programs.

2.7 Advanced Concept Technology Demonstrations (ACTDs)

See reference (b), paragraph 2.7, for implementation requirements for all DON programs.

Part 3
Program Structure

References: (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(c) SECNAVINST 5710.25A, "International Agreements," 2 Feb 95 (NOTAL)
(d) SECNAVINST 5510.34, "Manual for the Disclosure of DON Military Information to Foreign Governments and International Organizations," 4 Nov 93 (NOTAL)
(e) SECNAVINST 4900.46B, "The Technology Transfer and Security Assistance Review Board (TTSARB)," 16 Dec 92 (NOTAL)
(f) SECNAVINST 5420.188D, "Program Decision Process," 31 Oct 95 (NOTAL)
(g) Chairman of the Joint Chiefs of Staff Memorandum of Policy (MOP) 77, "Requirements Generation System, Policies and Procedures", 17 Sep 92 (NOTAL)
(h) SECNAVINST 4000.36, "Technical Representation at Contractor's Facilities," 28 Jun 93 (NOTAL)
(i) OPNAVINST 5100.24A, "Navy System Safety Program," 3 Oct 86 (NOTAL)
(j) MCO 3960.2B, "Marine Corps Operational Test and Evaluation Activity," 24 Oct 94 (NOTAL)
(k) SECNAVINST 5239.3, "Department of the Navy Information Systems Security (INFOSEC) Program," 14 Jul 95 (NOTAL)
(l) OPNAVINST 1500.8M, "Navy Training Planning Process," 18 Sep 86 (NOTAL)

3.1 Purpose

The purpose of this part is to identify the elements that are necessary to structure a successful program. These elements are contained in strategies proposed by the program manager (PM), endorsed by Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) and approved by the milestone decision authority (MDA). See references (a) and (b) for further implementation requirements for all Department of the Navy (DON) programs.

3.2 Program Goals

PMs for all DON programs shall establish program goals that meet the implementation requirements of reference (b), paragraph 3.2.

3.2.1 Objectives and Thresholds

PMs for all DON programs shall propose program objectives and thresholds for approval by the MDA. PMs shall not make trade-offs in cost, schedule, and/or performance outside of the trade space between objectives and thresholds defined by the program's goals without first obtaining approval from CNO/CMC and the MDA. See reference (b), paragraph 3.2.1, for further implementation requirements for all DON programs.

3.2.2 Acquisition Program Baselines

Every acquisition program shall establish an acquisition program baseline (APB) that documents the cost, schedule, and performance objectives and thresholds of that program. See reference (b), paragraph 3.2.2, for further implementation requirements for all DON programs.

3.2.2.1 Preparation and Approval

ACAT I, IA, and II program APBs shall be prepared by the PM, endorsed by CNO/CMC, concurred with by the Program Executive Officer (PEO), SYSCOM Commander, or DRPM, as appropriate, and approved by the MDA. ACAT III and IV program APBs shall be prepared by the PM, endorsed by CNO/CMC, and approved by the MDA. For IT ACAT programs, the APB is prepared by the PM, endorsed by the IT functional area point of contact (POC), CG, MCCDC, and resource sponsor, and approved by the MDA (see enclosure (7), appendix II, annex B, section 7, for IT functional area POCs). APBs shall be prepared and approved at the program's initiation; revised and/or updated at each subsequent program milestone decision; and revised following a program restructure or an unrecoverable program deviation. For ACAT IC programs, the APB shall not be approved without the coordination of the Under Secretary of Defense (Comptroller) (**10 U.S.C. 2220(a)(2)**) and the Joint Requirements Oversight Council (JROC). See reference (b), paragraph 3.2.2.1, for further implementation requirements for all DON programs.

3.2.2.2 APB Content

CNO (N8)/CMC (CG, MCCDC) shall validate the key performance parameters in ACAT II, III, and IV program APBs. The APB content for all DON programs, including those APBs revised as a result of program modifications, shall meet the implementation requirements of reference (b), paragraph 3.2.2.2, (see the table in enclosure (1), paragraph 1.4.5.2).

3.2.3 Exit Criteria

Reference (b), paragraph 3.2.3, requires ACAT I and ACAT IA programs to use exit criteria to meet the requirement in **10 U.S.C. 2220(a)(1)** for goals during an acquisition phase.

MDAs shall also establish exit criteria in the acquisition decision memorandum (ADM) for each phase for ACAT II, III, and IV programs.

See reference (b), paragraph 3.2.3, for further implementation requirements for status reporting and exit criteria for all DON programs.

3.3 Acquisition Strategy

PMs for all DON programs shall develop an acquisition strategy implementing the requirements of reference (b), paragraph 3.3. For ACAT IC, IAC, and II programs, the PM shall develop the acquisition strategy in coordination with the acquisition coordination team (ACT). For ACAT III and IV programs, the PM shall develop the acquisition strategy in coordination with the ACT, if one is established.

3.3.1 Sources

See reference (b), paragraph 3.3.1, for implementation requirements for all DON programs.

3.3.2 Cost, Schedule, and Performance Risk Management

PMs for all DON programs shall research and apply applicable technical and management lessons-learned during system development or modification. Data bases containing this information are listed in the Deskbook (DON Section). An ACT, as appropriate (see enclosure (1), paragraph 1.2), shall assist the PM to assess risk areas and tailor risk management strategies. See reference (b), paragraph 3.3.2, for further implementation requirements for all DON programs.

3.3.3 Cost as an Independent Variable (CAIV)

The CAIV concept shall be applied to all DON ACAT acquisition programs. See reference (b), paragraph 3.3.3, and this instruction, paragraph 2.3.2.3.1, for further implementation requirements for all DON programs.

3.3.3.1 Cost/Performance Tradeoffs

For DON ACAT IC, IAC, and II programs, an ACT shall be

used to provide cost-performance tradeoff analysis support, as appropriate. Cost-performance tradeoffs shall also be performed for ACAT III and IV programs and an ACT, if established, shall provide tradeoff support as approved by the MDA. See reference (b), paragraphs 3.3.3.1 and 4.3.8, for further implementation requirements for all DON programs.

3.3.3.2 Cost Management Incentives

See reference(b), paragraph 3.3.3.2, for implementation requirements for all DON programs.

3.3.4 Contract Approach

See reference (b), paragraph 3.3.4, for implementation requirements for all DON programs.

3.3.4.1 Competition

See reference (b), paragraph 3.3.4.1, for implementation requirements for all DON programs.

3.3.4.2 Best Practices

See reference (b), paragraph 3.3.4.2, for implementation requirements for all DON programs.

3.3.4.3 Cost Performance

See reference (b), paragraph 3.3.4.3, for implementation requirements for all DON programs.

3.3.4.4 Advance Procurement*

See reference (b), paragraph 3.3.4.4, for implementation requirements for all DON programs.

* Not applicable to IT programs.

3.3.4.5 Continuous Acquisition and Life-Cycle Support (CALS)(Digital Data)

See reference (b), paragraph 3.3.4.5, for implementation requirements for all DON programs.

3.3.5 Management Approach

The acquisition strategy shall be developed in sufficient detail to establish the managerial approach that shall be used to achieve program goals. See reference (b), paragraph 3.3.5, for further implementation requirements for all DON programs.

3.3.5.1 Streamlining

See reference (b), paragraph 3.3.5.1, for implementation requirements for all DON programs.

3.3.5.2 International Considerations*

All DON ACAT programs shall consult with the Navy International Programs Office (IPO) during development of the international element of the program's acquisition strategy to obtain:

1. Relevant international programs information, such as existing or proposed research, development, and acquisition international agreements and data exchange agreements with allied and friendly nations.

2. ASN(RD&A) policy and procedures regarding development, review, and approval of international armaments cooperation programs, as established by reference (c).

3. DON technology transfer policy established by references (d) and (e) under the policies of the Secretary of Defense as recommended by the National Disclosure Policy Committee (NDPC).

See reference (b), paragraph 3.3.5.2, for further implementation requirements for all DON programs.

* Not normally applicable to IT programs.

3.3.5.3 Joint Program Management

When DON activities are considering involvement in another service program that is past Milestone I, but pre-Milestone III, and there has been no formal previous involvement, they shall establish an operating agreement with the lead service defining participation in the program. This operating agreement shall include funding, participation in joint milestone information preparation/endorsement and program reviews, joint program management, and joint logistics support.

When a DON activity is considering involvement in another service program that is past Milestone III, and when there has been no previous formal involvement, the decision to forward funds to the lead service will be supported by:

1. Milestone Information. Other service milestone information, supported by a DON activity endorsement, will be used to the maximum extent possible. Any unique DON activity requirements will be addressed by separate correspondence.

2. Decision. The information requirements to support the DON activity's decision to associate with the other

service program will follow the general guidelines of reference (f).

When ASN(RD&A) approves withdrawal from a program, CNO (N8)/CMC (CG, MCCDC) will prepare necessary briefing material and correspondence to support ASN(RD&A)'s withdrawal decision. See reference (b), paragraph 3.3.5.3, for further implementation requirements for all DON programs.

3.3.5.3.1 Joint Potential Designator (JPD) Interface with Other Services

For weapon system programs, CNO (N81)/CMC (CG, MCCDC) shall staff mission need statements (MNSs) received from the other Services for JPD assessment in compliance with reference (g) and, in turn, shall provide Navy/Marine Corps MNSs to the other Services for their JPD determination. Operational requirements documents (ORDs) which have MNSs evaluated as joint or joint interest, or that are not preceded by a MNS, shall also be staffed among the Services for JPD reassessment or assessment, as appropriate. All DON MNSs/ORDs shall have a JPD assessment before final approval.

For IT programs, the IT functional area POC shall coordinate the MNS with the Office of the Secretary of Defense (OSD) principal staff assistant (PSA) for joint or multi-service applicability. The IT functional area POC shall similarly coordinate the ORD with all appropriate CNO/CMC codes and with the OSD PSA.

3.3.5.4 Assignment of Program Executive Responsibility

See reference (b), paragraph 3.3.5.4, for implementation requirements for ACAT I and IA programs, and any other programs determined by ASN(RD&A) to require dedicated program executive management.

3.3.5.5 Technical Representatives at Contractor Facilities

Reference (h) provides procedures for the use of DON technical representatives at contractor's facilities. See reference (b), paragraph 3.3.5.5, for further implementation requirements for all DON programs.

3.3.5.6 Information Sharing and DoD Oversight

ASN(RD&A) or designee and PEOs/SYSCOM Commanders/DRPMs shall implement the requirements of reference (b), paragraph 3.3.5.6.

3.3.6 Environmental, Safety, and Health Considerations

Reference (i) provides procedures for system safety programs. See reference (b), paragraphs 3.3.6 and 4.3.7, for implementation requirements for all DON programs.

3.3.7 Sources of Support

See reference (b), paragraph 3.3.7, for implementation requirements for all DON programs.

3.3.8 Warranties

See reference (b), paragraph 3.3.8, for implementation requirements for all DON programs. See Defense Federal Acquisition Regulation Supplement (DFARS) paragraph 246.770 for a description of programs that require a warranty.

3.3.9 Evolutionary Acquisition and Preplanned Product Improvement

When an evolutionary acquisition (EA) strategy is used to field a core capability and there are subsequent modifications to the initial fielded core capability, such modifications shall satisfy a validated requirement and be supportable in the operational environment.

EA modifications to the core capability shall be funded, developed, and tested in manageable increments. Each increment shall be managed as a modification in accordance with enclosure (1), paragraph 1.4.5.2, and reference (b), paragraph 1.4.5.2.

Preplanned product improvement (P3I) modifications shall also satisfy a validated requirement and be supportable in the operational environment.

3.4 Test and Evaluation

Early involvement between the developing activity (DA) and the operational test agency (OTA) (Operational Test and Evaluation Force (OPTEVFOR))/(Marine Corps Operational Test and Evaluation Activity (MCOTEA)) is required to ensure that both have a common understanding of the system requirements and that developmental and operational testing is tailored to optimize cost, schedule, and performance. The Commander, Marine Corps Systems Command (COMMARCORSYSCOM) and Director, MCOTEA are the principals responsible for developmental test and evaluation (DT&E) and operational test and evaluation (OT&E), respectively, within the Marine Corps. Reference (j) establishes MCOTEA as the Marine Corps independent operational T&E activity responsible for adequate testing, objective evaluation, and independent reporting in support of the Marine Corps acquisition process. See reference (b), paragraph 3.4, for further implementation requirements for all DON programs.

3.4.1 Test and Evaluation Strategy

Any environmental evaluation required under Title 42 United States Code 4321-4347 or Executive Order 12114 shall be completed before the decision is made to proceed with either a

developmental or operational test that may affect the physical environment. See reference (b), paragraphs 3.4.1 and 4.3.7, for further implementation requirements for all DON programs.

3.4.2 Developmental Test and Evaluation

DT&E is required for all developmental acquisition programs. For DON programs, DT&E shall be conducted by the DA through contractor testing or government test and engineering activities. Combined developmental testing/operational testing (DT/OT) shall be pursued whenever possible to reduce program costs, improve program schedule and provide early visibility of performance issues. See reference (b), paragraph 3.4.2, for further implementation requirements for all DON programs.

3.4.2.1 Interoperability Testing and Certification

For applicable systems, interoperability testing shall be conducted to ensure that ORD requirements are met. Interoperability testing consists of two major areas, Navy-Marine Corps interoperability testing and joint service interoperability testing.

1. Marine Corps-unique interfaces shall be tested during DT&E by MARCORSYSCOM.

2. Navy or Marine Corps joint service interoperability testing shall be accomplished during DT&E by the Joint Interoperability Test Center, Fort Huachuca, AZ.

3. The PM shall have system interoperability certified prior to Milestone III.

3.4.2.2 DT&E of Amphibious Vehicles

All DT&E of amphibious vehicles and amphibious tests of other equipment or systems used by a landing force in open seaways shall be conducted by, or be under the direct supervision of, the COMMARCORSYSCOM with appropriate Naval Sea Systems Command (NAVSEASYSCOM) or PEO/DRPM coordination. The Director, MCOTEA shall ensure that OT&E of such systems is planned, scheduled and evaluated with appropriate coordination with OPTEVFOR.

3.4.2.3 Aircraft and Air Traffic Control (ATC) Equipment

The CNO shall be responsible for satisfying Marine Corps requirements for aircraft and ATC equipment as defined by the CMC. DT&E of naval aviation systems and ATC equipment shall be accomplished under the direction of the Naval Air Systems Command

(NAVAIRSYSCOM) at Navy test activities.

3.4.2.4 Test and Evaluation of System Certification

System certification testing shall be conducted to ensure that ORD security requirements are met. Testing shall determine that the security measures specified for the system in response to ORD requirements are implemented and provide the level of protection required. The PM shall coordinate with OPTEVFOR (or MCOTEA for Marine Corps systems) and the Designated Approval Authority (DAA) (CNO/CMC, or designee) to determine the extent of system certification testing required. In accordance with reference (k), the PM shall ensure system certification is achieved prior to Milestone III, Production or Fielding/ Deployment Approval.

3.4.3 Certification of Readiness for OT&E

See reference (b), paragraph 3.4.3, for implementation requirements for all DON programs.

3.4.3.1 Navy Criteria for Certification

The following criteria are the minimum required for certification of readiness to commence operational evaluation (OPEVAL) and follow-on operational test and evaluation (FOT&E); however, for other phases of OT, specific criteria may be tailored as appropriate.

1. The test and evaluation master plan (TEMP) is current and approved.

2. All DT&E objectives and performance thresholds have been met, or are projected to be at system maturity, and results indicate that the system will perform successfully in OT&E and will meet the criteria for approval at the next program decision milestone (e.g., full-rate production on completion of OPEVAL). All DT&E testing data has been published and distributed. With the exception of combined DT/OT, the DA/PM shall provide available developmental test reports and data to the OTA for possible use in supplementing operational test data, for all programs undergoing OT&E, not less than 30 days prior to the commencement of operational testing unless otherwise agreed to by COMOPTEVFOR.

3. The results of DT&E (and previous OT&E) demonstrate that all significant design problems (including compatibility, electromagnetic environmental effects,

interoperability, survivability/vulnerability, reliability, maintainability, availability, human factors, systems safety, and logistics supportability) have been identified and corrective actions are in process.

4. System operating and maintenance documents, including Maintenance and Material Management (3M) program documents and preliminary allowance parts list (PAPL), have been distributed to COMOPTEVFOR.

5. Adequate logistic support, including spares, repair parts, and support/ground support equipment is available as documented in the TEMP. Discuss (in the certification message) any logistics support which should be used during OT&E, but will not be used with the system when fielded (e.g., contractor provided depot level maintenance).

6. The applicable system technical documentation (e.g., failure modes, effects, and criticality analyses (FMECA), level of repair analyses (LORA), life-cycle cost (LCC), and logistic support analyses (LSA)) has been provided to COMOPTEVFOR.

7. The OT&E manning of the system is adequate in numbers, rates, ratings, and experience level to simulate normal operating conditions.

8. The approved Navy training plan, if applicable, has been provided to COMOPTEVFOR.

9. Training for personnel who will operate and maintain the system during OT&E (including OPTEVFOR personnel) has been completed, and this training is representative of that planned for fleet units under the Navy training plan.

10. All resources required for operational testing such as instrumentation, simulators, targets, and expendables have been identified, planned, and are listed in the TEMP. All appropriate documents are available.

11. The system provided for OT&E, including software and the total logistics support system, is production representative. If this is not the case, a waiver (see paragraphs 3.4.3.6 and 3.4.3.7 below) must specify the difference between the system to be used for test and the final production configuration.

12. All threat information required for OT&E (e.g., threat system characteristics and performance, electronic countermeasures, force levels, scenarios and tactics) is available and a list of such information (including security classifications) has been provided to COMOPTEVFOR.

13. The system safety program has been completed.

14. The system complies with Navy occupational safety and health/hazardous waste requirements, where applicable.

15. Software maturity metrics analysis demonstrates the software is stable and expected to perform at a level commensurate with the operational test phase.

16. For software qualification testing (SQT), a Statement of Functionality, describing the software capability, has been provided to COMOPTEVFOR.

17. For programs employing software, there are no unresolved priority 1 or 2 software problem reports (SPR), and all priority 3 problems are documented with appropriate impact analyses.

18. For aircraft programs, there are no unresolved Board of Inspection and Survey (INSURV) Part I (*) or Part I (**) deficiencies.

3.4.3.2 <u>Marine Corps Criteria for Certification</u>

The Marine Corps criteria for certification of readiness to commence OPEVAL/FOT&E are (with the exception of Marine Corps aviation programs which adhere to paragraph 3.4.3.1 procedures):

1. The TEMP is current and approved.

2. The DT&E has been completed and the results reported.

3. All DT&E objectives and performance thresholds have been met. All failures and deficiencies, to include those identified in previous OT&E, have been corrected. (Note: If all have not been corrected, the PM shall ensure that uncorrected failures or deficiencies are addressed in the certification letter.)

4. DT&E of embedded computer systems, including hardware, firmware, and software, has satisfied the Marine Corps standard criteria for computers and warrants proceeding into OT&E.

5. Deviations have been addressed where expected reliability of the system differs from the requirements documents.

6. The results of DT&E demonstrate that all significant design problems (including compatibility, electromagnetic environmental effects, interoperability, survivability/vulnerability, producibility, reliability, availability, maintainability, human factors, and logistical

supportability) have been identified and solutions are in hand.

7. The system provided for OT&E, including software and the total logistics support system, is production representative. If the system is not production representative, the PM shall describe the differences in the certification correspondence.

8. It is expected that the system will perform successfully in OT&E, and will meet the criteria for approval for full-rate production on completion of OT&E.

9. Required training for personnel who will operate and maintain the system during OT&E (including MCOTEA personnel) has been completed, and this training is representative of that planned for the operational forces that will be using the system.

10. System operating and maintenance manuals have been distributed for OT&E.

11. The OT&E manning for the system is the same in numbers, rates, ratings, and experience level as is planned for operational forces under normal operating conditions.

12. The Manpower and Training Plan has been approved and provided to the Director, MCOTEA.

13. Adequate logistics support, including spares, repair parts, and support and test equipment are available for OT&E. Discuss in the certification letter any logistics support which should be used during OT&E, but will not be used with the system when fielded (e.g., contractor provided depot level maintenance).

14. All resources required for OT&E (e.g., instrumentation, targets, expendables, operations security) have been planned, are listed in the TEMP, and are available.

15. Software maturity metrics analysis demonstrates the software is stable and expected to perform at a level commensurate with the operational test phase.

16. For software qualification testing (SQT), a Statement of Functionality, describing the software capability, has been provided to MCOTEA/Marine Corps Tactical

System Support Activity (MCTSSA).

17. For programs employing software, there are no unresolved priority 1 or 2 software problem reports (SPR), and all priority 3 problems are documented with appropriate impact analyses.

18. All threat information required for OT&E (e.g., threat system characteristics and performance, electronic countermeasures, force levels, scenarios, and tactics) is available.

19. Any changes to the concept of employment (COE) are identified and provided in the test support package (TSP).

20. The system technical documentation, such as FMECA, LORA, LCC, and LSA, has been provided to the Director, MCOTEA.

21. The system is safe to use in accordance with the COE. Any restrictions to safe employment are stated.

3.4.3.3 Navy Procedures for Certification

1. Prior to certifying readiness for OT&E, the SYSCOM/PEO/DRPM/PM shall convene an operational test readiness review (OTRR) or similar forum. This review shall include all members of the testing team (DT&E and OT&E) including representatives from CNO (N912), the program sponsor, and COMOPTEVFOR.

2. After completing DT&E and the COMOPTEVFOR distribution of the OT&E test plan (normally 30 days prior to OT&E), and when the DA determines that a system is ready for OT&E, the DA shall:

a. For programs without waivers (see paragraphs 3.4.3.6 and 3.4.3.7 below for waiver procedures), notify OPTEVFOR by message with "info copy" to CNO (N091), the program sponsor, fleet commands, INSURV (for ships/aircraft), and other interested commands, of the system's readiness for OT&E. The message will certify that the system is ready for OT_____(phase) as required by the TEMP.

b. For programs requesting waivers (see paragraphs 3.4.3.6 and 3.4.3.7 below for waiver procedures), address the certification to CNO (N091) with "info copy" to OPTEVFOR, and others listed above. CNO(091) shall inform COMOPTEVFOR by message to proceed with the test subject to the waivers.

3.4.3.4 Marine Corps Procedures for Certification

1. Approximately 30 days prior to the start of an OT&E, an OTRR will be chaired and conducted by the Director, MCOTEA. OTRR participants shall include the OT&E Test Director and Assistant Test Director, representatives from the PM, MARCORSYSCOM (Program Analysis and Evaluation (PA&E) and Program Support Engineering - Test (PSE-T)) and MCCDC (C441). The purpose of the OTRR is to determine the readiness of a system, support packages, instrumentation, test planning, and

test participants to support the OT. It shall identify any problems which may impact the start or proper execution of the OT, and make any required changes to test plans, resources, training, or equipment.

2. COMMARCORSYSCOM shall certify to CMC that the system is safe and ready for operational testing. This certification includes an information copy for the Director, MCOTEA and MCCDC (C441).

3. MCOTEA shall select OTRR agenda issues based on a review of DT&E results and related program documentation, including certification of equipment to be safe and ready for OT&E. MCOTEA shall also review all OT&E planning for discussion at the OTRR. OTRR agenda items may be nominated by any OTRR attendee.

3.4.3.5 Aircraft OPEVALs Certification Procedures

In addition to the above certification by the DA, INSURV shall submit an independent technical assessment of readiness for OPEVAL to CNO (N091) and COMOPTEVFOR (for aircraft acquisition programs). For unresolved Part I deficiencies, CNO (N88) or designee, shall chair a conference with members from COMNAVAIRSYSCOM/PEO/DRPM, INSURV, and CNO (N091) to review status prior to the OTRR. The chair will then make a written report to CNO (N88) with action recommendations and any dissenting opinions noted. CNO (N88) has authority to withhold introduction, or waive, temporarily or permanently, Part I deficiencies. This report will be made available to the OTRR board.

3.4.3.6 Navy Waivers

There are two kinds of waivers:

1. Waivers from compliance with the criteria for certification cited in paragraph 3.4.3.1 above.

2. Waivers for deviations from the testing requirements directed by the TEMP.

3.4.3.7 Navy Waiver Requests

Waivers shall be requested in the OT&E certification message (see this instruction, enclosure (7), appendix III (last page)). If a waiver request is anticipated, the PM shall coordinate with the program sponsor, CNO (N912), and OPTEVFOR prior to the OTRR or similar review forum. Use of the ACT or IPT, test planning working group (TPWG), or similar forum is also

recommended to ensure full understanding of the impact on operational testing. Approval of a waiver request shall not alter the requirement, and the waived items shall be tested in subsequent operational testing.

1. When requesting a waiver, the PM shall outline the limitations that the waiver will place upon the system under test, the upcoming operational testing, and their potential impacts on fleet use. Further, a statement shall be made in the OT&E certification message noting when the waivered requirement will be available for subsequent operational testing.

2. CNO (N091) shall approve waivers, as appropriate. CNO (N091) shall coordinate waiver requests with COMOPTEVFOR, CNO (N4, N8), and the program sponsor.

3. A waiver may result in limitations to the scope of testing (LIMSCOPE) that precludes COMOPTEVFOR from fully resolving all critical operational issues (COIs).

4. Waived items shall not be used in COMOPTEVFOR's analysis to resolve COIs, but may be commented on in the "Operational Considerations" section of the test report.

3.4.3.8 Marine Corps Waivers

If full compliance with the certification criteria is not achieved, but the deviations are minor, MARCORSYSCOM shall request in the certification correspondence that MCCDC (C441) grant a waiver to allow OT to begin. Justification shall be provided for the waivers. DAs/PMs shall make every attempt to meet all of the readiness criteria before certification. If the need for a waiver is anticipated, the PM shall identify the waiver to MARCORSYSCOM (PSE) when establishing the schedule for the OTRR. Waivers shall be fully documented prior to the OTRR.

3.4.3.9 Navy Start of Testing

COMOPTEVFOR may start testing upon receipt of a certification message unless waivers are requested. When waivers are requested, COMOPTEVFOR may start testing upon receipt of waiver approval from CNO (N091).

3.4.3.10 Navy Program Decertification

A decertification message is originated by the DA, after coordination with the program sponsor, to withdraw the system

certification and stop the operational test. It is sent when evaluation of issued deficiency/anomaly reports or other information indicates the system will not successfully complete OT&E. Withdrawal of certification shall be accomplished by DA message to CNO (N091) and COMOPTEVFOR stating, if known, when the system will be evaluated for recertification and subsequent restart of testing.

3.4.3.11 Navy Recertification

When a system undergoing OT&E has been placed in deficiency status, the DA must recertify readiness for OT&E prior to restart of testing in accordance with paragraph 3.4.3.

3.4.4 Modeling and Simulation

See reference (b), paragraph 3.4.4, for guidance.

3.4.5 Operational Test and Evaluation

See reference (b), paragraph 3.4.5, for guidance.

3.4.5.1 Visitors

Observers and other visitors shall not normally be permitted during operational testing. If, during operational testing, a situation arises that requires a unit commander to report to seniors in the unit commander's chain of command via an operational report (OPREP) or similar report, test results shall be divulged only to the degree necessary for the OPREP.

3.4.5.2 OT&E Activities

OT&E shall be conducted by COMOPTEVFOR or the Director, MCOTEA, or their designated executive test agents. Reference (b) requires an independent organization, separate from the DA and from the user commands, to be responsible for all OT&E. COMOPTEVFOR is designated the Navy's independent operational test organization. MCOTEA is designated the Marine Corp's independent operational test activity. COMOPTEVFOR is responsible for planning and conducting OT&E, reporting results, providing evaluations of each tested system's operational effectiveness and suitability, identifying system deficiencies, developing tactics, and making recommendations regarding fleet introduction. The Director, MCOTEA is responsible for planning and conducting OT&E, reporting results, providing evaluations of each tested system's operational effectiveness and suitability, and identifying system deficiencies.

3.4.5.3 Test and Evaluation of System Security

System security testing shall be conducted to ensure that the planned and implemented security measures satisfy ORD requirements when the system is installed and operated in its intended environment. The PM, OPTEVFOR (or MCOTEA), and the DAA (CNO/CMC, or designee) shall coordinate and determine the level of risk associated with operating the system and the extent of security testing required. In accordance with reference (k), the DAA shall provide an accreditation statement prior to Milestone III, Production or Fielding/Deployment Approval.

3.4.6 Operational Test and Evaluation Plans

See reference (b), paragraph 3.4.6, for implementation requirements for all DON programs.

3.4.6.1 Navy Briefing

1. For OSD oversight programs, COMOPTEVFOR shall provide test plan briefings to the Director, Operational Test and Evaluation (DOT&E). The PM shall be briefed prior to DOT&E. A copy of the OT&E test plan shall be provided by COMOPTEVFOR to CNO (N091).

2. For non-OSD oversight programs within the Navy, COMOPTEVFOR will brief the OT&E test plan concept to the PM prior to DT&E or technical evaluation (TECHEVAL) and brief the detailed operational test plan to the PM prior to OT&E or OPEVAL. This shall be scheduled to allow an adequate review prior to beginning OT&E. With the exception of combined DT/OT, DT data and results shall be provided to COMOPTEVFOR not less than 30 days prior to the beginning of OT. This will allow COMOPTEVFOR adequate time to determine the amount of DT data usable to supplement OT, thereby allowing for a possible reduction in the extent of OT.

3. For all programs within the Navy requiring OT, the DA shall ensure COMOPTEVFOR participation in the DT&E test plan development.

3.4.7 Use of System Contractors in Support of Operational Test And Evaluation

See reference (b), paragraph 3.4.7, for implementation requirements for all DON programs.

3.4.8 Production Qualification Test and Evaluation

See reference (b), paragraph 3.4.8, for implementation requirements for all DON programs.

3.4.9 Live Fire Test and Evaluation

The PM is responsible for conducting Live Fire Test and Evaluation (LFT&E), when required, and for providing the contents of the LFT&E section of Part IV of the TEMP. See reference (b), paragraph 3.4.9, for implementation requirements for all DON programs.

3.4.10 Foreign Comparative Testing

See reference (b), paragraph 3.4.10, for implementation requirements for all DON programs.

3.4.11 Test and Evaluation Master Plan (TEMP)

TEMPs shall be required for all DON ACAT programs. The TEMP may be a stand-alone document, or it may be included as the T&E management section of a single acquisition document, or for ship programs not requiring OT&E, it may be addressed as noted in paragraph 3.4.11.1 below. See reference (b), paragraph 3.4.11, for further implementation requirements for all DON programs.

3.4.11.1 Ship Programs

For ship programs not requiring OT&E, TEMP requirements shall be satisfied by performance standards within the shipyard test program, as well as builder's trials, acceptance trials, and final contract trials, specified in the contract and in specifications invoked on the shipbuilder. These foregoing trials shall normally be observed by representatives of the cognizant PEO/DRPM or NAVSEASYSCOM shipbuilding program office, the Supervisor of Shipbuilding for the respective shipyard, and INSURV.

3.4.11.2 Measures of Effectiveness (MOEs) and Measures of Performance (MOPs)

For DON programs, MOEs and MOPs shall be consistent among the analysis of alternatives, ORD, APB, and the TEMP. The TEMP shall document in Part IV how MOEs and MOPs will be addressed in T&E.

3.4.11.3 Thresholds

Separate performance thresholds for DT and for OT, where appropriate, shall be established. The technical parameters, threshold values, and issues used for DT shall be established by the PM, whereas the operational parameters and issues which shall be used for OT are incorporated in the TEMP by COMOPTEVFOR/ MCOTEA. The numerical values for DT and OT shall be derived from

the performance parameters established in the ORD. See reference (b), paragraphs 3.2.1 and 3.4.11.3, for further implementation requirements for all DON programs.

3.5 Life-Cycle Resource Estimates

See reference (b), paragraph 3.5, for implementation requirements for all DON programs.

3.5.1 Life-Cycle Cost Estimates

Naval Center for Cost Analysis (NCCA) is the Navy organization responsible for preparing ACAT IC independent cost estimates (ICEs). Additionally, NCCA analysts shall participate in developing life-cycle cost estimates for ACAT ID, IC, and II programs, particularly in the early resolution of cost issues. MDAs may request that similar NCCA assistance be used in developing life-cycle cost estimates for ACAT III and IV programs. The ACT shall consider the use of appropriately tailored cost analysis requirements descriptions (CARDs) for ACAT II programs to clarify details not found in other documentation and to document assumptions. CARD templates are located in the Deskbook (DON Section).

When an independent cost estimate (ICE) for a DON ACAT IC program is not prepared by the OSD CAIG, NCCA shall be the DON organization responsible for preparing the ICE.

For DON programs (or cost elements within programs) with significant cost risk or high visibility, the MDA may request that NCCA prepare a cost analysis to supplement the program office life-cycle cost estimate.

NAVMAC analysts shall participate and assist the PM in the development of manpower life-cycle cost estimates for ACAT I programs, particularly in the early resolution of cost issues. NAVMAC assistance may be used in developing manpower life-cycle cost estimates for ACAT II, III, and IV programs, if requested by the MDA.

See reference (b), paragraph 3.5.1, for further implementation requirements for all DON programs.

3.5.2 Manpower Estimates (MEs)

DON MEs, required for ACAT I programs, shall be approved by CNO (N12)/CMC (DC/S Manpower and Reserve Affairs (M&RA)). See reference (b), paragraph 3.5.2, for further implementation requirements for all DON programs.

3.6 Program Plans

Program plans belong to the PM and are to be used by the PM to manage program execution throughout the life-cycle of the program. The PM, in coordination with the ACT, when established, shall determine the type and number of program plans. Except for the TEMP, program plans are not required to support a milestone decision and shall normally not be required by the MDA as mandatory milestone information or periodic reports. With the exception of the acquisition plan (AP), TEMP, Navy training plan (NTP) (see reference (l)), and technology assessment and control plan (TACP) (if a TACP is required by the MDA), any program plans required shall be approved by the PM. The AP shall meet FAR requirements. See DoD Deskbook (DON Section) for selected discretionary program plan formats.

Part 4
Program Design

References:
(a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(c) SECNAVINST 3960.6, "Department of the Navy Policy and Responsibility for Test, Measurement, Monitoring, Diagnostic Equipment and Systems, and Metrology and Calibration (METCAL)," 12 Oct 90 (NOTAL)
(d) ISO 9001 "Quality Systems - Model for quality assurance in design/development, production, installation and servicing" (NOTAL)
(e) ISO 9002 "Quality Systems - Model for quality assurance in production, installation and servicing" (NOTAL)
(f) USD(A&T) memorandum, "Single Process Initiative," 8 Dec 95 (NOTAL)
(g) SECNAVINST 4855.3, "Product Deficiency Reporting and Evaluation Program (PDREP)," 31 Mar 87 (NOTAL)
(h) SECNAVINST 4855.5A, "Product Quality Deficiency Report Program," 20 Jul 93 (NOTAL)
(i) SECNAVINST 4855.6, "Navy Quality Deficiency Reporting Program," 3 Feb 88 (NOTAL)
(j) MCO 4855.10B, "Product Quality Deficiency Report (PQDR)," 26 Jan 93 (NOTAL)
(k) SECNAVINST 5234.2A, "Ada Programming Language Policy," 28 Apr 94 (NOTAL)
(l) SECNAVINST 5420.188D, "Program Decision Process," 31 Oct 95 (NOTAL)
(m) MCO 3093.1C, "Intraoperability and Interoperability of Marine Corps Tactical C4I2 Systems," 15 Jun 89 (NOTAL)
(n) Assistant Secretary of the Navy (Research, Development and Acquisition) Memorandum, "Implementation of Department of Defense Policy on Specifications and Standards," 27 Jul 94 (NOTAL)
(o) Assistant Secretary of the Navy (Research, Development and Acquisition) Memorandum, "Navy Implementation of Department of Defense Policy on Specifications And Standards Reform," 21 Dec 94 (NOTAL)

(p) Office of Management and Budget (OMB) Circular A-119, "Federal Participation in the Development and Use of Voluntary Standards," 20 Oct 93 (NOTAL)
(q) OPNAVINST 3432.1, "Operations Security," 29 Aug 95 (NOTAL)
(r) DoD 5200.1-M, "Acquisition Systems Protection Program," 16 Mar 94 (NOTAL)
(s) SECNAVINST 5239.3, "Department of the Navy Information Systems Security (INFOSEC) Program," 14 Jul 95 (NOTAL)
(t) OPNAVINST 2400.20E, "Navy Management of the Radio Frequency Spectrum," 19 Jan 89 (NOTAL)
(u) OPNAVINST 2450.2, "Electromagnetic Capability Program Within the Department of the Navy," 8 Jan 90 (NOTAL)
(v) DoD Instruction 5000.56, "Programming Unique Mapping, Charting, and Geodesy (MC&G) Requirements for Developing Systems," 11 Sep 91 (NOTAL)
(w) SECNAVINST 5430.79B, "Naval Oceanography Policy, Relationships and Responsibilities," 14 Jul 86 (NOTAL)
(x) SECNAVINST 5200.39, "Participation in the Government-Industry Data Exchange Program (GIDEP)," 22 Jun 95 (NOTAL)

4.1 Purpose

The purpose of this part is to establish the basis for a comprehensive, structured, integrated and disciplined approach to the life-cycle design of weapons and information technology systems, applicable to all Department of the Navy (DON) acquisitions in accordance with references (a) and (b).

4.2 Integrated Process and Product Development

Program Executive Officers (PEOs), Systems Command (SYSCOM) Commanders, Direct Reporting Program Managers (DRPMs), and program managers (PMs) shall ensure the elements of integrated process and product development (IPPD) are implemented in executing all programs under their cognizance. See reference (b), paragraph 4.2, for further implementation requirements for all DON programs.

4.2.1 Integrated Product Teams and IPPD

PMs shall ensure design activities implement the procedures necessary to concurrently develop products and their

associated processes. Development efforts shall result in an optimal product design and associated manufacturing, test, and support processes that meet the user's needs. See reference (b), paragraph 4.2, for further implementation requirements for all DON programs.

4.2.2 Integrated Technical Information Database

PMs shall, when practicable, develop and use an integrated technical information database between operational, maintenance, logistics, supply, and training users to facilitate the use of design, engineering, manufacturing, production, and logistics support information to eliminate duplication and effectively reduce life-cycle support costs.

4.3 Systems Engineering

PMs shall use a systems engineering process to translate operational requirements into a system solution that includes the design, test, manufacturing and support processes and products.

The following subject areas shall be part of the systems engineering process and their impact on the product design shall be determined with respect to total system cost, schedule, performance, and technical risk. See reference (b), paragraph 4.3, for further implementation requirements for all DON programs.

4.3.1 Manufacturing and Production

Reference (c) provides policies, procedures, and responsibilities for implementing integrated diagnostics, measurement, monitoring, and calibration systems in support of manufacturing and production. See reference (b), paragraph 4.3.1, for implementation requirements for all DON programs.

4.3.2 Quality

References (d) and (e) are the preferred models for quality management systems. Contractors may propose alternative systems, as long as they are technically acceptable and accomplish program objectives. The use of advanced quality practices and quality requirements shall be considered, if necessary, to assist in reducing risk, assuring quality, and controlling costs.

For existing contracts, the procedures set forth in reference (f) shall be applied to all Navy contractors proposing a transition from MIL-Q-9858 to the International Organization for Standardization (ISO) 9000 series, or equivalent. See

reference (b), paragraph 4.3.2, for further implementation requirements for all DON programs.

4.3.2.1 Past Performance

PMs shall consider past performance when evaluating competitively negotiated acquisitions (see 48 Code of Federal Regulations (CFR) 9, 48 CFR 15, and 48 CFR 42). Reference (g) provides specific procedures for obtaining past performance quality information, using the Product Deficiency Reporting and Evaluation Program.

4.3.2.2 Deficiency Reporting

PMs shall: (1) report discrepancies or deficiencies in material shipments and request billing adjustments (see 41 CFR 101) and (2) implement corrective/preventative actions to preclude recurrence of quality deficiencies.

Reference (g) provides policies, procedures and responsibilities for implementing and monitoring a unified, automated product deficiency reporting and evaluation system.

Reference (h) provides procedures for reporting product deficiencies across component lines.

Reference (i) provides specific Navy procedures for quality deficiency reporting and administration.

Reference (j) provides specific Marine Corps product quality deficiency reporting procedures.

4.3.3 Acquisition Logistics

The PM shall use the acquisition coordination team (ACT), when established, to the maximum practical extent to ensure that acquisition logistics is given the appropriate level of attention during the acquisition process. Acquisition logistics support programs shall be planned, managed, executed, and resourced such that full logistics support will be in-place at system initial operational capability (IOC). See reference (b), paragraph 4.3.3, for further implementation requirements for all DON programs.

4.3.3.1 Supportability Analyses

1. Supportability analyses are a key part of the overall acquisition strategy, source selection, and system design and shall be accomplished in support of these activities throughout the acquisition process.

2. Supportability analyses shall support acquisition planning, level of repair and reliability-centered maintenance decisions, program tradeoffs, and the formation of contract provisions.

See reference (b), paragraph 4.3.3.1, for further implementation requirements for all DON programs.

4.3.3.2 Support Concepts

Support concepts shall satisfy user requirements for meeting and sustaining readiness thresholds and objectives, responsive transition to the support and maintenance infrastructure, and life-cycle cost effectiveness. Program managers shall consider alternative maintenance concepts in support of the operational scenario as inputs to life cycle cost analyses and design trade-offs. Acquisition planning documents shall address and document compliance with the following four criteria for developing an executable support concept:

1. Total life-cycle cost of ownership

2. Maintenance concepts

3. Standardization

4. Supportability

See reference (b), paragraph 4.3.3.2, for further implementation requirements for all DON programs.

4.3.3.3 Support Data

The DON's database for the dissemination of weapon system operating and support (O&S) costs is the DON Visibility and Management of Operating and Support Costs (VAMOSC). Naval Center for Cost Analysis (NCCA) shall have overall program management responsibility for VAMOSC. See reference (b), paragraph 4.3.3.3, for further implementation requirements for all DON programs.

4.3.3.4 Support Resources

Support analyses shall determine integrated logistics support (ILS) resource requirements for the program's initial planning, execution, and life-cycle support. Recommendations for fleet introduction/deployment shall be based on adequate support resources to meet and sustain support performance threshold values and demonstrate adequate means to transition support to organic support infrastructure, if planned. See reference (b), paragraph 4.3.3.4, for further implementation requirements for all DON programs.

4.3.4 Open Systems Design

See reference (b), paragraph 4.3.4, for implementation requirements for all DON programs.

4.3.5 Software Engineering

The milestone decision authority (MDA) shall provide specific mandatory implementation requirements for all DON programs. See reference (b), paragraph 4.3.5, for implementation requirements for all DON programs.

4.3.5.1 Software Language

Selection of software programming languages shall be governed by reference (b). The DON Ada waiver policy is contained in reference (k).

4.3.6 Reliability, Maintainability, and Availability

These elements are an integral part of the systems engineering process and establish the basis for a comprehensive effort designed to assure meeting mission needs and reducing life-cycle ownership costs.

To establish adequate and complete performance requirements, a design reference mission profile shall be developed from the ORD that includes functional and environmental profiles that:

1. Define the boundaries of the performance envelope,

2. Provide the timelines (e.g., environmental conditions and applied or induced stresses over time) typical of operations within the envelope, and

3. Identify all constraints (e.g., conditions of storage, maintenance, transportation, and operational use), where appropriate.

Mission or safety-critical single point failures shall be avoided. If a mission or safety-critical single point failure mode cannot be eliminated through design, the design must be made robust (e.g., insensitive to the causes of failure, exhibiting graceful degradation) or redundant.

Dormant reliability analyses shall be done and an aging and surveillance program shall be established for pyrotechnics, explosives, rocket motors, and other items that have limited or require minimum service-life. The program shall be required to verify safety in storage, handling, and in use as part of service-life determination.

Parts derating criteria shall be mutually agreed upon between the contractor and the government and must consider past component history, environmental stresses, and component criticality. Parts stress analysis and testing shall be

performed to verify compliance with agreed-to derating criteria under worst-case mission profile environments.

For electronic circuitry, electrostatic discharge control procedures shall be included in the design, manufacturing, packaging, handling, and repair processes.

Reliability growth testing, using mission profile environments, shall be used to assure design maturity prior to operational testing. The results of formal reliability growth tests shall be used, when appropriate, to verify compliance with contractual performance requirements. If the results of reliability growth tests do not provide sufficient information, then reliability demonstration tests may be used to verify compliance with contractual requirements.

Predictions shall not be used to verify compliance with required contractual performance requirements.

Provisions for failure data collection, reporting, and analyses shall be established and mutually agreed upon between the government and the contractor.

Non-developmental items (NDI) or commercial off-the-shelf (COTS) items shall be shown to be operationally suitable for their intended use and capable of meeting their allocated reliability requirements.

See reference (b), paragraph 4.3.6, for further implementation requirements for all DON programs.

4.3.7 Environmental, Safety, and Health

The Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)) is responsible for ensuring DON acquisition programs comply with DON environmental policy and is the focal point for all DON acquisition environmental issues.

The Assistant Secretary of the Navy (Installations and Environment) (ASN(I&E)) is responsible for formulating DON environmental, safety, and health (ESH) policy. ASN(I&E) advises ASN(RD&A) on environmental issues, to include review and comment on or endorsement of National Environmental Policy Act (NEPA) or Executive Order (EO) 12114 environmental documents (see the tables in paragraph 4.3.7.2 below). ASN(I&E), or designee, as a program decision principal advisor (see reference (l)), will attend program decision meetings (PDMs).

The Chief of Naval Operations (CNO) and Commandant of the Marine Corps (CMC) shall support ASN(RD&A) in developing ESH

requirements, recommending mandatory acquisition ESH policy, assisting in ESH policy implementation, and providing ESH advice and assistance to acquisition personnel. See reference (b), paragraphs 3.3.6 and 4.3.7, for further implementation requirements for all DON programs.

4.3.7.1 National Environmental Policy Act

The ASN(RD&A) shall provide final approval authority for acquisition-related NEPA and EO 12114 documents. Approval of records of decisions (RODs) under NEPA may not be delegated. The environmental documentation process tables for NEPA and EO 12114 in paragraph 4.3.7.2 below shall be followed by all programs where ESH evaluation determines there is a need for NEPA or EO 12114 documentation. See reference (b), paragraph 4.3.7.1, for further implementation requirements for all DON programs.

4.3.7.2 Environmental Compliance

The PEO, SYSCOM Commander, DRPM, and PM are responsible for environmental planning and compliance with environmental requirements for DON acquisition programs. See reference (b), paragraph 4.3.7.2, for further implementation requirements for all DON programs.

ENVIRONMENTAL DOCUMENTATION PROCESS--NEPA

DOCUMENT	PREPARED BY	ASSISTANCE/ CONCURRENCE BY	REVIEW/ ENDORSEMENT BY	APPROVAL/ SIGNATURE BY
Categorical Exclusion (CATEX) **NOTE:** Action could take 1 week to 2 months	PM or Designee	PEO/SYSCOM/DRPM Installation CO	ASN(I&E), Info Copy	PM, Sign
Environmental Assessment (EA) **NOTE:** Action could take 4-6 months.	PM or Designee	SYSCOM OPNAV N00N[1] Installation CO Counsel	CNO/CMC, DRAFT, Review[2] CNO/CMC, FINAL, Endorse[2] Counsel, Review ASN(I&E), Info Copy	PEO/ SYSCOM COMMANDER/ DRPM, Approve[3]
Finding of No Significant Impact (FONSI) **NOTE:** Action could take 2 months (after EA completion)	PM or Designee	SYSCOM OPNAV N00N[1] Installation CO Counsel	CNO/CMC, Endorse[2] Counsel, Review[4] ASN(I&E), Info Copy	PEO/ SYSCOM COMMANDER/ DRPM, Sign[3, 5]
Environmental Impact Statement (EIS) NOI/DEIS/FEIS) **NOTE:** Action could take 12 to 18 months or longer.	PM or Designee	CNO/CMC OPNAV N00N[1] PEO/SYSCOM/DRPM Counsel	CNO/CMC, Review Counsel, Review ASN(I&E), Endorse	ASN(RD&A), Approve
Record of Decision (ROD) **NOTE:** Action could take 2 to 4 months (after completion of EIS).	PM/CNO/CMC	PEO/SYSCOM/DRPM OPNAV N00N[1] Counsel	CNO/CMC, Review Counsel, Review ASN(I&E), Endorse	ASN(RD&A), Sign[5]

(See footnotes for the NEPA table below the EO 12114 table on the next page.)

NOI - Notice of Intent
DEIS - Draft Environmental Impact Statement
FEIS - Final Environmental Impact Statement

ENVIRONMENTAL DOCUMENTATION PROCESS -- EXECUTIVE ORDER 12114

DOCUMENT	PREPARED BY	ASSISTANCE/ CONCURRENCE BY	REVIEW/ ENDORSEMENT BY	APPROVAL/ SIGNATURE BY
E. O. 12114 Negative Decision (Citing an Overseas CATEX or exemption) **NOTE:** Action could take 1 week to 2 months.	PM or Designee	PEO/SYSCOM/DRPM Installation CO	ASN(I&E), Info Copy	PM, Sign
Overseas Environmental Assessment[6] **NOTE**: Action could take 4 to 6 months.	PM or Designee	SYSCOM OPNAV N00N[1] Installation CO Counsel	CNO/CMC DRAFT, Review[2] FINAL, Review[2] Counsel, Review ASN (I&E), Info Copy	PEO/ SYSCOM COMMANDER/ DRPM, Approve[3]
Overseas EIS **NOTE:** Action could take 12 to 18 months.	PM or Designee	CNO/CMC OPNAV N00N[1] PEO/SYSCOM/DRPM Counsel	CNO/CMC, Review ASN(I&E), Endorse[7]	ASN(RD&A), Approve
Environmental Review(ER)/ Environmental Study (ES) **NOTE:** Action could take 12 to 18 months.	PM or Designee	CNO/CMC OPNAV N00N[1] PEO/SYSCOM/DRPM Counsel	CNO/CMC, Review Counsel, Review ASN(I&E), Endorse[7]	ASN(RD&A), Approve
ER or ES Concluding No Significant Impact **NOTE:** Action could take 4 to 8 months.	PM or Designee	SYSCOM OPNAV N00N[1] Installation CO Counsel	CNO/CMC, Review[2] Counsel, Review ASN(I&E), Info Copy	PEO/ SYSCOM COMMANDER/ DRPM, Approve[3]

FOOTNOTES

1. Obtain concurrence from OPNAV N00N for acquisition programs involving nuclear propulsion matters.

2. When a PEO/SYSCOM/DRPM has a clear knowledge of the requirements as demonstrated by the preparation of acceptable EAs and FONSIs (or corresponding EO 12114 documents), the requirement for CNO/CMC review/endorsement shall cease. This decision will be made jointly by the PEO/SYSCOM/DRPM and CNO/CMC.

3. Approval/signature authority may only be redelegated when MDA has been redelegated below PEO/SYSCOM Commander/DRPM.

4. Upon request by PEO/SYSCOM Commander/DRPM.

5. The PM is responsible for ensuring public notification of FONSIs and RODs via appropriate medium. Where publication in the *Federal Register* is required, CNO/CMC will publish FONSIs and RODs.

6. The last page of the Overseas EA includes either (1) a Negative Decision that no significant harm will occur to the global commons, or (2) a conclusion that significant harm may occur to the global commons and an Overseas EIS must be prepared.

7. ASN(I&E) will coordinate with Department of State on actions (either unilateral or multilateral) affecting a foreign nation.

4.3.7.3 System Safety and Health

CNO may establish a System Safety Advisory Board(s). Policies of such a Board(s) are subject to review and approval by ASN(RD&A). See reference (b), paragraph 4.3.7.3, for further implementation requirements for all DON programs.

4.3.7.4 Hazardous Materials

Authorization for Navy and Marine Corps possession and use of radioactive material is granted by Radioactive Material Permits issued by the Navy Radiation Safety Committee. See reference (b), paragraph 4.3.7.4, for implementation requirements for all DON programs.

4.3.7.5 Pollution Prevention

See reference (b), paragraph 4.3.7.5, for implementation requirements for all DON programs.

4.3.8 Human Systems Integration

Total life-cycle cost, including logistics support and human systems integration (HSI), must be demonstrated as representing the lowest cost of ownership to the DON. Therefore, the PM shall, in coordination with the ACT, when established, ensure that HSI costs (e.g., manpower, personnel, training (MPT), human factors engineering, safety) and impacts are adequately considered, weighted, and integrated with other engineering and logistics elements beginning at program initiation. See reference (b), paragraphs 4.3.7 and 4.3.8, for further implementation requirements for all DON programs.

4.3.9 Interoperability

Reference (m) establishes Marine Corps management procedures to ensure compliance with both intraoperability and joint interoperability standards. System design shall take into account potential international programs ramifications as an integral part of the design process. For international cooperative programs, these design considerations are mandatory. For U.S.-only development efforts, the PM shall consider designing the proposed system with a potential for eventual international sales and support. See reference (b), paragraph 4.3.9, for further implementation requirements for all DON programs.

4.4 Other Design Considerations

4.4.1 Survivability

When developing survivability characteristics for critical

weapon systems, PMs shall address all aspects of survivability including the effects of nuclear, chemical, and biological contamination and shall consider such affects in test and resource planning. PEOs, SYSCOM Commanders, DRPMs, and PMs shall use the technical resources of the Army Chemical and Biological Defense Command, where appropriate. See reference (b), paragraph 4.4.1, for further survivability implementation requirements for all DON programs.

4.4.2 Work Breakdown Structure

See reference (b), paragraph 4.4.2, for implementation requirements for all DON programs.

4.4.3 Standardization Documentation

In accordance with references (n) and (o), certain military and federal specifications and standards shall not be imposed in program solicitations without a waiver approved by the MDA. A waiver approved by the MDA is also needed to cite canceled military specifications and standards as requirements in program solicitations. The acquisition strategy, acquisition plan, or separate memorandum may be used for this purpose. Canceled military specifications and standards may still be needed, on an exception basis, for new acquisitions or reprocurements. PMs shall evaluate the cost effectiveness, risk, and benefits of the transition to a performance-based reprocurement technical design package. Military specifications and standards that need approved waivers to be cited as requirements on program solicitations also shall be identified to the MDA when cited for guidance on program solicitations.

Waivers for the use of military specifications and standards shall not be required when:

1. Reprocuring a system or components that are already in the inventory.

2. A contractor proposes the use of military specifications and standards in preparation for or as a result of solicitation requirements.

The Director, Naval Nuclear Propulsion shall determine the specifications and standards to be used for naval nuclear propulsion plants in accordance with Public Law 98-525 (Title 42, U.S.C., Section 7185 Note).

An order of preference for selection of specifications and standards shall be included in each contract in accordance with reference (p).

All solicitations equal to or greater than $100,000 shall contain language to encourage contractors to submit alternative solutions to specifications and standards. Contractors, with contracts exceeding $500,000 which have substantial effort remaining, shall be encouraged to propose alternative solutions to specifications and standards.

Each new contract shall have language which states that all specifications and standards cited and first-tier references shall be mandatory for use. The contract shall also state that lower tier references shall be used for guidance only and that specifications in drawings are considered first-tier references.

The DON Standards Improvement Executive (SIE) shall report to ASN(RD&A). The DON SIE shall direct implementation of the Defense Standards Improvement Program policies and procedures, assist in their development, and serve on the Defense Standards Improvement Council. The DON SIE and SYSCOM SIEs shall oversee the review of existing military specifications and standards to determine which will be processed for department-wide waivers. Such department-wide waivers shall be identified in acquisition strategies or acquisition plans.

4.4.3.1 Single Process Initiative

PEOs, SYSCOM Commanders, and DRPMs shall identify a single point of contact to assist the Acquisition Reform Executive (ARE) in the implementation of the Single Process Initiative within their commands. For existing DON contracts, the procedures and responsibilities set forth below and in reference (f) shall apply.

4.4.3.1.1 Administrative Contracting Officers (ACO) in DON Supervised Contract Administration Offices (CAO)

The ACO shall initially notify key DON customers when a contractor volunteers to participate in the single process initiative (key customers are notionally defined as those who represent 80 percent of the total dollar value of affected contracts at the contractor’s facility). The Naval Nuclear Propulsion Program is hereby designated a key customer for all concept papers or proposals affecting contracts for components and systems used in naval nuclear propulsion plants. The ACO shall obtain Naval Nuclear Propulsion Program concurrence for all proposed actions in those cases.

The ACO shall request from the DON program office most affected by the proposal and having the largest contract dollar value at the contractor’s facility, that an individual be designated as the DON team leader. The DON team leader shall be

appointed in writing by the ARE and shall be identified to all DON customers by the ACO.

In those cases where non-DoD departments or agencies have contracts administered by a CAO, ACOs shall not include non-DoD contracts in the single process initiative agreement without prior approval of the non-DoD department or agency. The CAO shall bring to the attention of non-DoD departments or agencies that single process initiative concepts or proposals have been submitted by the contractor for DoD contracts and encourage the cooperation and participation of the non-DoD department or agency.

4.4.3.1.2 PEOs, SYSCOM Commanders, and DRPMs

The program office most affected by the single process proposal and having the largest contract dollar value shall nominate a senior member of the acquisition workforce as the DON team leader representing the DON customers on single process initiative issues at a specific contractor's facility. The program office shall obtain concurrence with the nomination of the DON team leader from the applicable PEO, SYSCOM Commander, or DRPM and shall coordinate with other key DON customers. The DON team leader nomination shall be submitted to the ARE for appointment in writing. Any non-concurrence with the nomination shall also be submitted to the ARE, with appropriate justification and recommendations for an alternative DON team leader.

PEOs, SYSCOM Commanders, and DRPMs shall provide subject matter experts or expert team members to review and make recommendations on the acceptability of the contractor's single process proposal.

Appointment of a DON team leader shall not relieve the PM from accountability for ensuring single process initiatives do not adversely impact programs under their cognizance. Appeals by PEOs, SYSCOM Commanders, DRPMs, or PMs, concerning single process proposal decisions being considered by the DON team leader, shall be made to the Department of the Navy (DON) Acquisition Executive (NAE) via the ARE.

4.4.3.1.3 DON Team Leader

The DON team leader shall represent DON customers and have the authority to make decisions on all issues related to the review and approval of single process concepts and proposals submitted by a contractor for a specific facility. For any contractor concepts or proposals affecting components or systems used in naval nuclear propulsion plants, Naval Nuclear Propulsion

Program concurrence shall be obtained prior to approval of the concepts or proposals.

The DON team leader shall request assistance, as necessary, from subject matter experts or expert team members from PEOs, SYSCOM Commanders, DRPMs, or program offices. These subject matter experts or expert team members shall review and provide comments and recommendations on the acceptability of the single process concept and proposal.

The DON team leader shall brief, solicit recommendations from, and achieve consensus with the other affected DON PMs and buying activities on the acceptability of the single process concept and proposal. The DON team leader shall provide sufficient details of the concept and proposal to the affected DON PM and buying activities to allow an assessment of the impact on their programs and deliverables. The DON team leader is also responsible for facilitating consensus with the other Component team leaders.

When consensus cannot be reached on the acceptability of the contractor's single process proposal within DON program offices and buying activities, the DON team leader shall present the disputed aspects of the proposal to the ARE who shall facilitate a review and decision by the NAE.

When consensus cannot be reached on the acceptability of the contractor's single process proposal with the other Component team leaders, the DON team leader shall present the proposal to the ARE who shall facilitate a review and decision by the NAE. The NAE decision shall be the DON position when the proposal is presented for review and decision by the Defense Acquisition Executive (DAE) designee.

4.4.3.1.4. <u>Acquisition Reform Executive</u>

The ARE shall appoint the DON team leader in writing. Appointments shall designate the DON team leader as the authority responsible for concurrence for DON programs on single process block modification changes at a specific contractor facility.

When the nomination of the DON team leader is appealed by PEOs, SYSCOM Commanders, or DRPMs, the ARE may consider the appointment of alternative DON team leaders, or even co-leaders in exceptional cases.

The ARE shall directly participate in the review and provide a recommended decision concerning single process proposals to the NAE in the following cases:

l. When consensus cannot be reached at the DON level on the acceptability of the proposal.

2. When consensus cannot be reached at the DoD level on the acceptability of the proposal.

4.4.3.1.5 Service Acquisition Executive

The NAE shall directly participate in the review and disposition of single process proposals in the following cases:

l. When consensus cannot be reached at the DON level on the acceptability of the proposal.

2. When consensus cannot be reached at the DoD level on the acceptability of the proposal.

4.4.4 Metric System

The Commander, NAVSEASYSCOM is responsible for administration of DON participation in the DoD Metrication Program. See reference (b), paragraph 4.4.4, for further implementation requirements for all DON programs.

4.4.5 Program Protection

Each DON program shall consider program protection planning, which encompasses security, acquisition systems protection, systems security engineering, counterintelligence, and operations security (SASCO) requirements. SASCO requirements are contained in reference (q). An illustrative format for a discretionary Program Protection Plan is provided in the Deskbook (DON Section) and in reference (r). See reference (b), paragraph 4.4.5, for further implementation requirements for all DON programs.

4.4.6 Information Systems Security

To execute the requirements set forth in reference (b), the PM shall comply with the information systems security policy of reference (s) for all weapons and information technology systems. Compliance with reference (s) specifically includes:

1. Making a risk determination based on system criticality and threat,

2. Assessing vulnerabilities for systems at risk during design and development,

3. Incorporating appropriate countermeasures, and

4. Demonstrating countermeasures effectiveness through the certification process.

See reference (b), paragraph 4.4.6, for further implementation requirements for all DON programs.

4.4.7 Electromagnetic Environmental Effects (E3) and Spectrum Management

Spectrum certification (i.e., equipment frequency allocation) shall be obtained prior to obligating funds in accordance with reference (t). DON procuring activities shall initiate applications for frequency allocation as soon as radio frequency bands of operation for C4I systems are identified.

Electromagnetic compatibility shall be emphasized during the DON acquisition process and integrated into developmental and operational tests in accordance with reference (u).

CNO (N6) is designated the DON executive for spectrum management and electromagnetic compatibility. The requirements in references (t) and (u) are applicable to all DON acquisition programs including NDI/COTS and advanced concept technology demonstrations. See reference (b), paragraph 4.4.7, for further implementation requirements for all DON programs.

4.4.8 Unplanned Stimuli

See reference (b), paragraph 4.4.8, for implementation requirements for all DON programs.

4.4.9 Value Engineering

See reference (b), paragraph 4.4.9, for implementation requirements for all DON programs.

4.4.10 Mapping, Charting, and Geodesy (MC&G) Support

Guidance for identifying and funding unique MC&G products required by a system under development is found in reference (v).

All DON MC&G support requirements will be coordinated with CNO/CMC, as appropriate.

4.4.11 Precise Time and Time Interval (PTTI) Support

The Superintendent of the U. S. Naval Observatory is designated as the DoD and DON PTTI Manager and shall maintain standard astrogeophysical products.

4.4.12 National Environmental Support

In accordance with reference (w), CNO is responsible for coordinating and implementing operational oceanographic and astrogeophysical support requirements for all DoD users. PMs shall task CNO (N096) for meteorology and oceanography (METOC); mapping, charting, and geodesy (MC&G); PTTI; and astrometry support as early as possible in the development cycle to ensure timely availability of products and services.

4.4.13 Government-Industry Data Exchange Program (GIDEP)

Reference (x) provides specific Navy requirements and procedures for participation in the GIDEP program.

The Commander, NAVSEASYSCOM is responsible for coordinating, programming, and executing the GIDEP for DON.

Part 5
Program Assessments and Decision Reviews

References: (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(c) SECNAVINST 5420.188D, "Program Decision Process," 31 Oct 95 (NOTAL)
(d) OPNAVINST 5420.2Q, "Resources and Requirements Review Board," 26 Jan 93 (NOTAL)
(e) SECNAVINST 3070.1. "Operations Security," 9 Aug 84 (NOTAL)
(f) SECNAVINST 4105.1, "Integrated Logistics Support (ILS) Assessment and Certification Requirements," 30 May 96 (NOTAL)
(g) SECNAVINST 5400.15A, "DON Research, Development and Acquisition and Associated Life Cycle Management Responsibilities," 26 May 95 (NOTAL)

5.1 Purpose

This part establishes mandatory policies and procedures for conducting milestone decision reviews of all acquisition category (ACAT) programs. See references (a), (b), and (c) for further implementation requirements for all Department of the Navy (DON) programs.

5.2 Defense Acquisition Board/DON Program Decision Process

1. The only DON-level decision briefing shall be the Program Decision Meeting (PDM), as prescribed in reference (c). ACAT ID and IAM programs shall be reviewed by a PDM prior to presentation at an Office of the Secretary of Defense (OSD)-level decision meeting. See reference (b), paragraph 5.2, for further implementation requirements for ACAT ID and IAM programs.

2. Program Executive Officers (PEOs), Systems Command (SYSCOM) Commanders, and Direct Reporting Program Managers (DRPMs) shall conduct an acquisition program briefing to prepare for the PDM, and shall issue schedules at least monthly for these briefings. Meeting membership and attendance is controlled by the PEO/SYSCOM/DRPM. Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)),

Chief of Naval Operations (CNO), and Commandant of the Marine Corps (CMC) staffs, and other personnel with a need to know shall attend these briefings in lieu of individual briefings by program offices. For DON programs where milestone decision authority (MDA) has been delegated below ASN(RD&A), a program briefing will normally constitute the PDM, as provided for in reference (c).

3. The Resources and Requirements Review Board (R3B) shall be used, when necessary, to resolve major program issues at the Office of the Chief of Naval Operations (OPNAV) level prior to review at PDMs or special program reviews. R3B membership and procedures are contained in reference (d). The Ship Characteristics Improvement Panel (SCIP) and the Air Characteristics Improvement Panel (ACIP), as special panels of the R3B, shall provide coordination for ships and aircraft, related systems, and air launched weapons matters. SCIP/ACIP membership and procedures are contained in reference (d).

4*. The Planning Guidance Board, with members representing CNO (N2, N3/5, and N8), shall provide operations security (OPSEC) and OPSEC enhancement planning guidance during mission need statement (MNS) review. A sub-panel, the Composite Planning Group, shall coordinate guidance preparation and shall assist the program manager's (PM’s) staff in subsequent OPSEC and program protection planning. Detailed policy, procedures, and membership for this board and group are found in reference (e).

5*. The cognizant PEO/SYSCOM Commander/DRPM is responsible for ensuring ILS is reviewed for readiness to proceed and for reporting the results to the cognizant MDA. The reviews shall be accomplished on a schedule to support each milestone decision, initial operational capability, and full operational capability. Each review shall encompass all programmatic aspects that address or affect supportability, logistics, or readiness. Using the criteria provided in reference (f), the PEO/SYSCOM Commander/DRPM shall certify to the MDA the adequacy of their ACAT programs’ ILS planning, management, resources, and execution. Recommendations to the MDA regarding program continuance shall consider logistics factors in balance with other major decision factors. CNO/CMC, as appropriate, shall be responsible for validating the cognizant PEO/SYSCOM Commander/DRPM ILS assessment process per reference (g).

*Not applicable to ACAT IA programs.

5.3 Major Automated Information Systems Review Council (MAISRC)

ACAT IAM programs are governed by reference (b), paragraph 5.3, for MAISRC decision meetings. DON ACAT IAM programs follow the PDM procedures in enclosure (5), paragraph 5.2, subparagraphs 1 through 4, prior to proceeding to a MAISRC.

5.4 Integrated Product Teams (IPTs)/Acquisition Coordination Teams (ACTs) in the Oversight and Review Process

Reference (c), paragraphs 5b and 5c, and this instruction, enclosure (1), paragraph 1.2, provide policy on the use of ACTs, their functions, and membership for ACAT IC, IAC, II, III, and IV programs. The PM shall structure, tailor, and lead IPTs, as needed, to resolve issues and provide assessments at the lowest level. See reference (b), paragraph 5.4, for further implementation requirements for ACAT ID and IAM programs.

5.5 Joint Requirements Oversight Council (JROC) Review Procedures

See this instruction, enclosure (7), appendix II, annex A, section 5, and annex B, section 5 for DON JROC procedures for ACAT I and IA programs, respectively. See reference (b), paragraph 5.5, for further implementation requirements for DON ACAT I and IA programs.

5.6 OSD Cost Analysis Improvement Group (CAIG) Procedures*

When an ACAT ID or IC independent cost estimate (ICE) is prepared by the CAIG (see enclosure (3), paragraph 3.5.1), reference (b) requires the program office life-cycle cost estimate to be documented and briefed to the CAIG. The results of the CAIG review shall be forwarded to the Navy Acquisition Executive, ASN(RD&A). See reference (b), paragraph 5.6, for further implementation requirements for DON ACAT ID and IC programs.

*Not applicable to ACAT IA programs.

5.7 Other Boards and Councils

See reference (b), paragraph 5,7, for implementation requirements for ACAT I and IA programs.

5.8 Program Information

See the following table for all ACAT program mandatory milestone information. Milestone information shall be presented in

mandatory formats where required by reference (b) and this instruction. All other mandatory milestone information may be presented in a format that is the MDA's option. In the same manner, PM-prepared information, and any other information as appropriate, may be combined at the MDA’s and PM’s discretion. See reference (b), paragraph 5.8, and enclosure (1), paragraph 1.4, for further implementation requirements on "tailoring-in" program information content for all DON programs.

Mandatory Milestone Information (see paragraph 1.4 for tailoring)						
Milestone Information	Statutory	Presentation Medium	ACAT	Applicability	Prepared By	Approved By
Mission Need Statement [1/]		Mandatory Format (MOP 77)	**I, IA, II, III, IV**	Milestone (MS) 0	Program Sponsor	JROC (ACAT I) CNO/CMC
Operational Requirements Document [2/]		Mandatory Format	**I, IA, II, III, IV**	Initial MS and sub [2/]	Program Sponsor	CNO/CMC JROC validates (ACAT I)
Acquisition Program Baseline	YES [3/]	Mandatory Format	**I, IA, II, III, IV**	Initial MS and sub	PM	MDA
Test and Evaluation Master Plan [5/]	YES [4/]	Mandatory Format [5/]	**I, IA, II, III, IV**	Initial MS and sub	PM OPTEVFOR MCOTEA	CNO/CMC [5/] MDA DTSE&E [4/] DOT&E [4/]
Environmental, Safety, & Health Evaluation	YES	Acqn Strat or MDA option	**I, IA, II, III, IV**	Initial MS and sub	PM	MDA
Technology & Industrial Capability Assessment *	YES	Acqn Strat or MDA option	**I**	Initial MS and sub	PM	MDA
Cooperative Opportunities Assessment *	YES	Acqn Strat or MDA option	**I**	Initial MS and sub	PM	MDA
Independent Cost Est [8/]	YES *	MDA option	**I, IA**	Initial MS and sub	CAIG/NCCA [7/]	Chair CAIG/Dir NCCA [7/]
Manpower Estimate *	YES	Optional	**I**	Milestones II and III	CNO/CMC	CNO/CMC
LFT&E Waiver Cert *	YES [6/]	MDA option	**I, II**	Prior to Milestone II	PM	MDA
LFT&E Report *	YES [6/]	Optional	**I, II**	Milestone III	DOT&E	DOT&E
OT&E Report	YES	Optional	**I, IA, II, III, IVT**	As determined in TEMP	OPTEVFOR MCOTEA	OPTEVFOR MCOTEA
Beyond LRIP Report *	YES [4/]	Optional	**I, II, III, IV**	Milestone III	DOT&E	DOT&E
Sys Threat Assessment **		Optional	**I, II, III, IV**	Milestone 0 and sub	Intell Activity	Intell Activity
Analysis of Alternatives		MDA option	**I, IA, II, III, IV**	Initial MS and sub	Indep Activity	NAE/MDA/CNO/CMC
Acquisition Strategy		MDA option	**I, IA, II, III, IV**	Initial MS and prior to subsequent milestones	PM	MDA
Risk Assessment		Acqn Strat or MDA option	**I, IA, II, III, IV**	Initial MS and sub	PM	MDA
Pgm Life-Cycle Cost Est [8/]		MDA option	**I, IA, II, III, IV**	Initial MS and sub	PM	PM
DT&E Report		Optional	**I, IA, II, III, IV**	As determined in TEMP	DT&E Activity	DT&E Activity
Acquisition Decision Memorandum		MDA option	**I, IA, II, III, IV**	All milestones/ and as determined by MDA	MDA staff	MDA
All other information		MDA option		As required by MDA		

* Not statutorily required for ACAT IA programs. ** Normally not applicable to ACAT IA and information technology (IT) ACAT III and IVT programs.
1/ An umbrella warfare [or functional] MNS may satisfy MNS requirement for Milestone 0 for potential ACAT II, III, and IV programs.
2/ A new, or revised, ORD is not required for subsequent milestones if still current, but ORD must be revalidated by JROC (ACAT I) and CNO or CMC, as appropriate, for subsequent milestones.
3/ Statutory for ACAT I programs.

4/ Statutory for ACAT I programs and those ACAT II, III, and IV programs designated by OSD Director, Operational Test & Evaluation (DOT&E) for oversight.
5/ Not mandatory for ship programs not requiring OT&E; TEMP may be tailored as appropriate for ACAT IVM programs; CNO/CMC ACAT I, II, and III only.
6/ Statutory for those ACAT I and II programs involving covered major systems, major munitions and missiles and product improvements thereto (which could be separate ACAT III or IV programs).
7/ NCCA responsible when independent cost estimate (ICE) is not prepared by CAIG.
8/ A Cost Analysis Requirements Description (CARD) shall be prepared for ACAT I and IA programs prior to preparation of the Independent Cost Estimate and the Program Life-Cycle Cost Estimate.

5.9 Source Selection Authority (SSA)

The SSA policies below apply to competitively negotiated acquisitions covering the selection of one or more prime development and/or production contractors (including concept exploration or the initiation of preliminary, contract, or detailed design for ship development/acquisition programs). These SSA policies also apply to any other competitively negotiated acquisition that is approved in advance by the assigned PEO, SYSCOM Commander, or DRPM; or the head of the contracting activity (HCA).

5.9.1 ACAT I, IA, and II Programs

ASN(RD&A) for assigned ACAT IA programs, and PEOs, SYSCOM Commanders, and DRPMs for their assigned ACAT I, IA, and II programs, shall be the SSA, unless otherwise specified by the Under Secretary of Defense (Acquisition and Technology), the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence) for ACAT IA programs, the Secretary of the Navy, or ASN(RD&A). The ACAT I SSA responsibility may not be further delegated. The ACAT IA SSA responsibility may be delegated. The ACAT II SSA responsibility may be delegated to an individual who:

1. If a member of the armed forces, is a flag or general officer; or

2. If a civilian, is a member of the Senior Executive Service (or in a comparable or higher position under another schedule).

5.9.2 ACAT III, IV, and Abbreviated Acquisition Programs

PEOs, SYSCOM Commanders, and DRPMs for their assigned ACAT III, IV, and abbreviated acquisition programs, and ASN(RD&A) or designee for information technology (IT) ACAT III, IVT, and abbreviated acquisition programs not assigned to PEOs, SYSCOM Commanders, and DRPMs, shall designate the SSA at the time approval is granted to use formal source selection procedures.

5.9.3 Other Competitively Negotiated Acquisitions

The SSA for such other competitively negotiated acquistions shall be as prescribed by the Federal Acquisition Regulation (FAR), the Defense Federal Acquisition Regulation Supplement (DFARS), or the Navy Acquisition Procedures Supplement (NAPS), unless otherwise directed by ASN(RD&A).

Part 6
Periodic Reporting

Reference: (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(c) DoD Directive 3200.12, "Scientific and Technical Information Program," 15 Feb 83 (NOTAL)
(d) SECNAVINST 3900.43A, "Navy Scientific and Technical Information Program," 20 Jul 94 (NOTAL)

6.1 Purpose

Periodic reports are those reports provided to the milestone decision authority (MDA) as phase documents, not milestone documents. They serve to inform the MDA as to cost, schedule and technical performance status. See references (a) and (b) for further implementation requirements for all DON programs.

6.2 Cost, Schedule, and Performance Program Reports

Decision makers in the acquisition chain of command can effectively oversee and review a program only when they are informed of emerging problems. Mandatory policies for reporting in-phase status for acquisition category (ACAT) ID, IAM, IC, IAC, II, III, and IV programs (and internal DON reporting of ACAT ID and IAM programs) follow.

6.2.1 Acquisition Program Baseline (APB) Reporting

All programs shall have baselines in accordance with this instruction, enclosure (3), paragraph 3.2.2.

6.2.1.1 Program Deviations

A program deviation occurs when the program manager (PM) has reason to believe that the current estimate of an APB cost, performance, or schedule parameter will breach the threshold value for that parameter. When this occurs, the PM shall immediately notify the MDA and the ACT for ACAT IC, IAC, and II programs or similar forum for ACAT III and IV programs. If not provided at this initial MDA notification, within 30 days of the program deviation, the PM shall notify the MDA of the reason for the deviation and the action(s) being taken to bring the program

back within the approved baseline thresholds. Within 90 days of the program deviation the program manager shall:

a. ensure the program is back within APB thresholds, or

b. submit a new APB, changing only the breached parameter and those directly affected by the breached parameter, or

c. provide a date by which the new APB will be submitted or by which the program will be back within original APB thresholds.

The PM shall also keep the Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) informed with regard to program deviations and baseline recovery actions. APB processing is described in reference (b), paragraph 3.2.2, and in enclosure (3), and enclosure (7), appendix II, annexes A and B, section 4.

6.2.2 Defense Acquisition Executive Summary* (DAES) (DD-ACQ(Q)1429 applies)

Reference (b), paragraph 6.2.2, contains ACAT I DAES reporting requirements, in the Consolidated Acquisition Reporting System (CARS) format (see reference (b), appendix I).

6.2.2.1 DAES Reportable Designations

Under Secretary of Defense (Acquisition and Technology) (USD(A&T)) assigns DAES reporting responsibility. Selected ACAT I programs are assigned a designated reporting month by USD(A&T) to begin their quarterly DAES reports. Without exception, DAES reports shall be submitted to USD(A&T) by the last working day of the program’s designated reporting month. To meet this deadline and to allow adequate time for Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)) and ASN (Financial Management and Comptroller) (ASN(FM&C)) review, DAES reports shall be submitted to ASN(RD&A) no later than the 15th day of the program's designated quarterly reporting month. Four copies plus one computer disk in CARS format shall be provided for each submission.

6.2.2.2 Out-of-Cycle DAES Reports

See reference (b), paragraph 6.2.2.2, for implementation requirements for ACAT I programs.

6.2.2.3 Consistency of Information with Other Documents and/or Reports

See reference (b), paragraph 6.2.2.3, for implementation

requirements for ACAT I programs.

*Not normally applicable to ACAT IA programs.

6.2.3 Major Automated Information System (MAIS) Quarterly Report (DD-C3I(Q)1799 applies)

MAIS quarterly reports shall be submitted to ASN(RD&A) or designee by the 15th of the month after the end of each quarter. C0MNISMC will forward MAIS quarterly reports to OSD. See reference (b), paragraph 6.2.3, for implementation requirements for ACAT IA programs.

6.2.4 Selected Acquisition Reports (SARs)* (DD-COMP(Q&A)823 applies)

SAR preparation implementation requirements are provided in reference (b), paragraph 6.2.4. To meet USD(A&T) submission deadlines and to allow adequate time for ASN(RD&A) and ASN(FM&C) review, annual SAR reports shall be submitted to ASN(RD&A) no later than the 15th day after the President sends the budget to Congress. Quarterly SARs shall be submitted no later than the 15th day after the end of the reporting period. Twenty copies plus one computer disk in the CARS format shall be provided for each annual and quarterly SAR. Final SAR content shall be as specified by USD(A&T) and ASN(RD&A). Classified annual SARs and quarterly SARs shall be handled as working papers until approved and published by USD(A&T).

*Not applicable to ACAT IA programs.

6.2.5 Unit Cost Reports (UCRs)* (DD-COMP (Q&AR)1591 applies)

UCRs apply to all SAR reporting programs. See reference (b), paragraph 6.2.5, for implementation requirements for ACAT I programs.

6.2.5.1 Unit Cost Content and Submission

See reference (b), paragraph 6.2.5.1, for implementation requirements for ACAT I programs.

6.2.5.2 UCR Breaches

Notification of unit cost threshold breaches shall be made immediately, via the chain of command, to ASN(RD&A).

Contract cost baselines (CCBs) are the basis for determining contract breaches that must be reported in the DAES. They shall be maintained on all major contracts for all SAR reporting programs, except that CCBs shall not be required for "RDT&E-only" programs. See reference (b), paragraph 6.2.5.2, for further implementation requirements for ACAT I programs.

*Not applicable to ACAT IA programs.

6.2.6 Annual T&E Oversight List

The Director, Operational Test and Evaluation (DOT&E) annual oversight list identifies those DON programs subject to DOT&E oversight.

6.2.7 Assessing Program Performance for ACAT I Programs*

See reference (b), paragraph 6.2.7, for implementation requirements for ACAT I programs.

*Not applicable to ACAT IA programs.

6.2.8 Assessing Program Performance for ACAT II, III, and IV Programs

Based on a review of the APBs of all ACAT II, III, and IV programs, the MDA shall determine, at the end of each fiscal year, and for each program separately, if, as of the last day of the fiscal year, 10 percent or less of the aggregate number of APB cost, schedule and performance thresholds for each program are in a breach status. The MDA shall also assess whether the average period for converting emerging technology to operational capability has decreased by 50 percent or more from the average period required for such conversion as of October 13, 1994. A summary of these determinations and assessments shall be provided to ASN(RD&A) by 15 October of each year. ASN(RD&A) will provide the DON assessment to Director, Acquisition Program Integration (API) of the Office of USD(A&T) by 1 November of each year as required by reference (b), paragraph 6.2.7. As of October 13, 1994, the average period between program initiation and initial operational capability (IOC) was 115 months. The number was derived from various commodities (aircraft, C3I systems, missiles, rockets, satellites, ships, tracked vehicles, and wheeled vehicles).

If the ASN(RD&A) finds that more than 10 percent of the aggregate number of APB cost, schedule, and performance thresholds for ACAT II, III, and IV programs are in a breach status, the appropriate Deputy Assistant Secretary of the Navy (DASN) (Research, Development and Acquisition) (RD&A), or their representative, shall conduct a timely review of the affected programs. In conducting the review, the DASN, user’s representative and the acquisition coordination team (ACT) leader (if existing) shall determine whether there is a continuing need for the programs that are sufficiently behind schedule, overbudget, or not in compliance with performance requirements, and shall recommend to the MDA suitable actions to be taken, including termination.

6.3 Test and Evaluation Reports

This paragraph describes mandatory test and evaluation (T&E) reporting requirements for ACAT ID, IC, IA, II, III and IV programs.

6.3.1 DoD Component (DON) Reporting of Test Results

See reference (b), paragraph 6.3.1, for implementation requirements for ACAT I, IA, and other programs designated for DOT&E oversight.

6.3.1.1 Navy Developmental Test and Evaluation (DT&E) Reports

For programs subject to Office of the Secretary of Defense (OSD) T&E oversight, the developing activity (DA) shall provide copies of formal DT&E reports to Director, Test, Systems Engineering and Evaluation (TSE&E) (OUSD(A&T)) at least 45 days prior to milestone decision meetings. Copies of DT&E reports for all ACAT I programs shall be provided to the Defense Technical Information Center (DTIC) with the Report Documentation Page (SF 298). For significant major acquisition program T&E events, as defined in the test and evaluation master plan (TEMP), copies of Navy internal event reports shall be forwarded via CNO (N091) to Director, TSE&E (OUSD(A&T)). See references (c) and (d) for further amplifying information for DTIC reporting requirements.

6.3.1.2 Navy Operational Test and Evaluation (OT&E) Reports

Commander, Operational Test and Evaluation Force (COMOPTEVFOR) shall issue operational test reports within 90 days following completion of testing. This period shall be extended to 120 days when a "Quicklook" report is approved. Programs subject to OSD T&E oversight shall provide copies of formal OT&E reports to DOT&E at least 45 days prior to milestone decision meetings. Copies of OT&E reports for all ACAT I programs, except those which contain vulnerabilities and limitations data for key war-fighting systems, shall be provided to the DTIC with the Report Documentation Page (SF 298). For significant major acquisition program T&E events, as defined in the TEMP, copies of Navy internal event reports shall be forwarded via CNO (N091) to DOT&E. See references (c) and (d) for further amplifying information for DTIC reporting requirements.

6.3.1.2.1 Anomaly Reports

An anomaly report shall be originated by COMOPTEVFOR when minor failures or anomalies are discovered during operational testing that impact testing, but are not so severe that testing should be stopped. COMOPTEVFOR shall report applicable data relating only to this anomaly. The anomaly report shall be

addressed to CNO (N091), the developing activity (DA), and the program sponsor or IT functional area Point of Contact (POC) for IT programs.

6.3.1.2.2 Deficiency Reports

A deficiency report is originated by COMOPTEVFOR when it becomes apparent that the system under OT&E will not achieve program objectives for operational effectiveness and suitability, is unsafe to operate, is wasting services, or test methods are not as effective as planned. COMOPTEVFOR shall stop the test and transmit a deficiency report to CNO (N091), the DA, and the applicable program sponsor, or the IT functional area POC, providing all deficiency test data to the DA for corrective action. The information shall include the configuration of the system at the time the test was suspended, what specific test section was being conducted, observed limitations that generated the deficiency status, and any observations that could lead to identification of causes and subsequent corrective action. The program shall be recertified for OT&E in accordance with enclosure (3), paragraph 3.4.3.3. A recertification message is required, prior to restart of testing, addressing the topics listed in enclosure (7), appendix III (last page).

6.3.1.2.3 Quicklook Operational Test and Evaluation Reports

A quicklook report may be requested when the normal OT&E report development period will adversely affect the program. Quicklook report conclusions may not agree with those in the full OT&E report due to limited data analysis.

Quicklook OT&E reports are authorized by CNO (N091) and shall be requested in the message certifying readiness for operational testing (see enclosure (3), paragraph 3.4.3.3). Quicklook reports shall be issued within 30 days following completion of testing.

6.3.1.3 Marine Corps Operational Test Reports (TRs)

After operational testing (OT), the Fleet Marine Force (FMF) shall write the Test Director (TD) test report. The TR shall address the collection, organization, and processing of information derived from the operational test and is a key source of information from which the initial evaluation report (IER) is written. The report also documents the overall potential of the system to meet operational effectiveness and suitability thresholds. The TR shall be forwarded via the appropriate Marine Force (MARFOR), to arrive at Marine Corps Operational Test and Evaluation Activity (MCOTEA) no more than 30 days after the end of the test. The PM does not have a role in developing or reviewing the TR.

An IER is written to report the results of both initial operational test and evaluation (IOT&E) and follow-on operational

test and evaluation (FOT&E). The IER shall be completed no more than 120 days following the end of testing. Once signed by the Director, MCOTEA, it shall be forwarded to CMC via Assistant Commandant of the Marine Corps (ACMC), and it shall be released upon ACMC approval for distribution. Once approved, MCOTEA shall distribute it to the MDA, PM, FMF, and others concerned. Release of the observed test results prior to completion of analysis is as deemed appropriate by the Director, MCOTEA.

The results of early operational assessments (EOAs) and operational assessments (OAs) shall be reported directly to the PM. The time and format for these assessment reports shall be determined by MCOTEA and the PM.

6.3.1.3.1 Anomaly Reports

Anomaly reports shall be provided by MCOTEA when minor failures or anomalies are discovered during operational testing that impact testing but are not so severe that testing should be stopped. The report shall be provided to the PM/DA for problem resolution, but it does not authorize the PM/DA to make changes in the system being tested.

6.3.1.3.2 Deficiency Reports

A deficiency report shall be provided when it becomes apparent during OT&E that the system under test will fall significantly short of requirements for operational effectiveness and suitability, is unsafe to operate, is wasting services, or has test methods not as effective as planned. The deficiency report shall specify the nature of the deficiencies identified. Testing shall be terminated until the deficiencies are corrected. The determination to resume testing shall be made by the Director, MCOTEA, after an abbreviated or full operational test readiness review (OTRR) is held in order to revalidate readiness for testing (see enclosure (3), paragraph 3.4.3.4).

6.3.2 Live Fire Test and Evaluation (LFT&E) Report*

For ACAT I or II programs involving covered major systems, major munitions or missiles, or product improvements thereto, the DA shall prepare a report of LFT&E to be submitted to DOT&E, via CNO (N091). The submission shall allow OSD 45 days to prepare an independent report and submit it to Congress prior to the program proceeding beyond Low-Rate Initial Production (LRIP). PMs shall keep CNO (N091) apprised of LFT&E program progress and execution. See reference (b), paragraph 6.3.2, for further implementation requirements for ACAT I and II programs involving covered major systems, major munitions or missiles, or product improvements thereto.

6.3.2.1 LFT&E Waivers

Waivers from realistic survivability (i.e., full-up, system-level testing) and lethality testing and certifications to Congress that live fire testing would be unreasonably expensive or impractical, shall be submitted by the MDA to DOT&E and Congress prior to Milestone II. Waivers shall be coordinated with the program sponsor and CNO (N091). Live fire waivers and certifications to Congress shall also be coordinated with ASN(RD&A) for ACAT III and IV programs involving covered major systems, major munitions or missiles, or product improvements thereto.

*Not applicable to ACAT IA programs.

6.3.3 Beyond Low-Rate Initial Production Report*

ACAT ID or IC programs, or ACAT II, III and IV programs that are designated DOT&E oversight programs, shall not proceed beyond LRIP until the DOT&E has submitted a written report to the Secretary of Defense and the Congress as required by 10 U.S.C. 2399. See reference (b), paragraph 6.3.3, for the beyond LRIP report content for designated DOT&E oversight programs.

*Not applicable to ACAT IA programs.

6.3.4 Foreign Comparative Test Notifications and Reports to Congress*

The DTSE&E shall notify Congress a minimum of 30 days prior to the commitment of funds for initiation of new foreign comparative test evaluations. See reference (b), paragraph 6.3.4, for further implementation requirements for DON programs involved in foreign comparative testing.

*Not applicable to ACAT IA programs.

6.3.5 Electronic Warfare (EW) Test and Evaluation Reports

See reference (b), paragraph 6.3.5, for implementation requirements for designated DON Electronic Warfare programs.

6.3.6 Annual Operational Test and Evaluation Reports*

See reference (b), paragraph 6.3.6, for implementation requirements for DON programs subject to operational test and evaluation and live fire test and evaluation during the preceding fiscal year.

*Not applicable to ACAT IA programs.

6.4 Contract Management Reports*

The reports prescribed in this section shall be used for all applicable defense contracts as they aid in effective resource management. Use of electronic data interchange shall be required provided that such media are suitable for management use. The work breakdown structure (WBS) used in preparing reports covered by this section shall conform to the standard DoD WBS (see reference (b), paragraph 4.4.2). See reference (b), paragraph 6.4, for further implementation requirements for ACAT I, II, III, and IV programs.

*Not normally applicable to ACAT IA programs because of the lower dollar value of ACAT IA contracts.

6.4.1 Contractor Cost Data Reporting (CCDR)

1. The Director, NCCA shall concur in, or provide comment on, all ACAT I CCDR plans. When the DON provides the independent cost estimate (ICE) for an ACAT IC program, the CCDR plan for that program shall also be provided to the Director, NCCA for approval. For ACAT II programs, the CCDR plans shall be provided as part of the ACT process to the Director NCCA for approval.

2. Copies of all CCDRs shall be provided to NCCA.

See reference (b), paragraph 6.4.1, for further implementation requirements for ACAT I programs.

6.4.2 Cost Performance Report (CPR)

PMs shall use the following guidelines in developing CPR reporting requirements:

1. Tailor CPR requirements with the objective of minimizing reporting requirements while satisfying management needs for a specific contract.

2. Except for high-cost or high-risk elements, the normal level of reporting detail shall be limited to level 3 of the contract WBS.

3. Format 2 of the CPR shall normally reflect the contractor’s organizational structure used for managing the program. If format 2 is appropriate, and the contractor and government are using IPTs, format 2 of the CPR shall be tailored to reflect that structure. If there is one IPT for each WBS element, then a format 2 is not necessary.

4. Variance analysis reporting in format 5 of the CPR shall be on an exception basis as identified by either the government or contractor. Variance analysis reporting shall be closely linked to risk analysis for identification of cost drivers.

5. Copies of all CPRs shall be provided to NCCA.

See reference (b), paragraph 6.4.2, for further implementation requirements for all DON programs.

6.4.3 Cost/Schedule Status Report (C/SSR)

See reference (b), paragraph 6.4.3, for further implementation requirements for all DON programs.

6.4.4 Contract Funds Status Report (CFSR)

See reference (b), paragraph 6.4.4, for further implementation requirements for all DON programs.

Part 7
Appendices

Appendices

Table of Contents

* Not applicable to ACAT IA programs
** Normally not applicable to ACAT IA programs
*** Not applicable to ACAT I programs

Appendix I

Consolidated Acquisition Reporting System

Annex A -- Acquisition Program Baseline
Annex B -- Selected Acquisition Reports*
Annex C -- Defense Acquisition Executive Summary*

See DoD Regulation 5000.2-R, appendix I, for implementation requirements for Selected Acquisition Reports and Defense Acquisition Executive Summary for ACAT I programs and Acquisition Program Baselines for all DON programs.

*Not applicable to ACAT IA programs.

Annex A - Acquisition Program Baseline

See DoD Regulation 5000.2-R, appendix I, for implementation requirements for all Department of the Navy (DON) programs.

Annex B - Selected Acquisition Reports

See DoD Regulation 5000.2-R, appendix I, for implementation requirements for acquisition category (ACAT) I programs.

Annex C - Defense Acquisition Executive Summary (DAES)

1.1 Procedures

1.1.1 Unit Cost Threshold Breach Notifications

Program managers (PMs) shall immediately submit a Unit Cost Threshold Breach Notification via the chain of command to ASN(RD&A), whenever the PM has reasonable cause to believe that a breach has occurred.

Notifications shall include a cover memorandum explaining the breach and applicable portions of DAES sections 6 and 7.

Ensure that Unit Cost Threshold Breach Notifications and Section 6 of DAES reports reflect the appropriate Unit Cost Report (UCR) Baseline. (Note that UCR Baseline measuring points change on 1 October each year.)

For unit cost breaches of 25 percent or more, the PM shall submit the Secretary of Defense (SECDEF) Certification Questions (Unit Cost Reporting Certification Questions) via the acquisition chain of command to ASN(RD&A) at the same time the Breach Selected Acquisition Report (SAR) is provided via the acquisition chain of command to ASN(RD&A). Questions shall be addressed directly and completely, regardless of the cause of breach.

1.1.2 Contract Cost Baselines (CCBs) and UCR Breach Notifications

The CCBs are the basis for determining contract breaches that shall be reported in the DAES.

1.1.2.1 CCB Requirement/Applicability

The requirement for CCBs is established in 10 U.S.C. 2433, which states that CCBs shall be established and maintained for all major contracts (excluding firm-fixed price). The requirement applies to SAR programs and major contracts. CCBs are not required for "RDT&E-only" SAR programs.

1.1.2.2 Contract Cost Baseline Format

PMs shall establish CCBs for applicable contracts, including updates for contract additions and deletions. The CCB shall be retained by the program office and shall contain the following information.

DATE _____

CONTRACT COST BASELINES

PROGRAM NAME _____

CONTRACT #1

CONTRACT NAME
CONTRACTOR (NAME & LOCATION)
CONTRACT NUMBER AND TYPE
BASELINE DATE
BASELINE AMOUNT ($ in millions)

CONTRACT #2 ETC

Appendix II

ASN(RD&A)/CNO/CMC[1/] Coordination Procedures for :

Annex A -- Weapon System Programs
- Section 1 -- Mission Need Statements
- Section 2 -- Analysis of Alternatives
- Section 3 -- Operational Requirements Documents
- Section 4 -- Acquisition Program Baselines (APBs)/APB Deviations
- Section 5 -- JROC Interface
- Section 6 -- Non-Acquisition Programs
- Section 7 -- Weapon System ACAT Designation Request Content

Annex B -- Information Technology (IT) Programs
- Section 1 -- Mission Need Statements
- Section 2 -- Analysis of Alternatives
- Section 3 -- Operational Requirements Documents
- Section 4 -- Acquisition Program Baselines (APBs)/APB Deviations
- Section 5 -- JROC Interface
- Section 6 -- IT ACAT Designation Request Content
- Section 7 -- IT Functional Area Points of Contact

1/ Where indicated

ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 1 - MISSION NEED STATEMENTS (MNSs)

References: (a) Chairman of the Joint Chiefs of Staff Memorandum of Policy No. 77, "Requirements Generation System Policies and Procedures," 17 Sep 92 (NOTAL)
(b) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(c) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(d) Chairman of the Joint Chiefs of Staff Instruction 6212.01A, "Compatibility, Interoperability, and Integration of Command, Communications, Computers, and Intelligence Systems," 30 Jun 95 (NOTAL)

1.1 Procedures

1.1.1 Office of the Chief of Naval Operations (OPNAV) Preparation, Review, and Submission Procedures

1. OPNAV MNS processing procedures are provided on the following pages. Marine Corps MNSs, requiring potential Navy fiscal sponsorship, are processed in accordance with this enclosure (7), appendix II, annex A, section 1, paragraph 6, Step 6 Final Coordination.

2. The OPNAV MNS process flow diagram for all potential ACATs is shown in appendix II, annex A, section 1, prior to the OPNAV MNS signature cover page formats.

3. OPNAV MNS signature cover page formats are included on the pages following the OPNAV MNS process flow diagram.

MISSION NEED STATEMENT (FORMAT)

MISSION NEED STATEMENT

FOR

TITLE OF OPERATIONAL CAPABILITY NEED

See reference (a), Chairman of the Joint Chiefs of Staff Memorandum of Policy No. 77, "Requirements Generation System Policies and Procedures," 17 Sep 92 (NOTAL), for mandatory mission need statement (MNS) format.

OPNAV MISSION NEED STATEMENT (MNS) PROCEDURES

1. Step 1 MNS Preparation. The program sponsor shall:

   a. Administer/track mission need proposal processing.

   b. Determine if any non-materiel alternatives exist.

   c. Prepare draft MNS. (Note 1, 2)

   d. Assign sponsor's priority. (Note 3)

   e. Coordinate with the Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)) staff to determine the potential ACAT.

   f. Coordinate with Chief of Naval Operations (CNO) (N810) before routing to ensure appropriate OPNAV codes are identified and that the document meets basic compliance with references (a), (b), and (c). Use initial draft review signature page for routing (see appendix II, page II-11). (Note 4)

Step 1 NOTES:

(1) FLTCINCs shall send proposed MNS to CNO (N83), who shall forward it to CNO (N81) for identification of the appropriate OPNAV program sponsor. Program sponsor shall act as the FLTCINC's representative to staff the document through both OPNAV and JCS. Once the program sponsor accepts sponsorship of the document, it follows these OPNAV MNS procedures.

(2) Draft MNSs for applicable USMC programs (see paragraph 6, Step 6) are forwarded from MCCDC.

(3) Program sponsor priority ranking categories:

   (a) "1" Essential capability absolutely necessary for the success of (joint) operations. Includes programs which are mandated by regulations or necessary for the safe operation of (joint) forces (i.e., a cost of doing business).

   (b) "2" Critical program to ensure that (joint) combat effectiveness is not jeopardized. Loss of capability would result in a severe risk to (joint) forces in carrying out a mission.

   (c) "3" Important program to (joint) combat effectiveness. Precludes serious risk in one or more (joint) mission areas. Lost capability could result in increased losses or extended timeliness but would not jeopardize overall (joint) mission.

   (d) "4" Valid warfighting capability that provides marginal contribution to (joint) combat effectiveness. Loss may result in some risk to (joint) operations. May be duplicative with another service(s) capability.

   (e) "5" Excess capability. Could be replaced by another intra/inter-service program with minimum impact on (joint) combat effectiveness.

(4) A MNS requires a statement on "standardization or interoperability within the North Atlantic Treaty Organization (NATO) or with other allies or DoD Components" when it impacts satisfying the mission need. A statement addressing these issues shall be made. If interoperability is not a requirement in terms of satisfying a mission need or deficiency, so state.

2. Step 2 Initial Review

   a. The program sponsor shall:

(1) Distribute draft MNS concurrently to CNO (N1, N2, N3/5, N4, N6, N81, N83 (for Unified or Specified Commander in Chief (CINC)/Fleet Commander in Chief (FLTCINC) review), N091, and N096). [Note 1]

(2) Forward copy of draft MNS to ASN(RD&A) and cognizant PEO/SYSCOM/DRPM for information.

b. CNO (N81) shall:

(1) Enter the draft MNS into the requirements document library data base. [CNO (N810)]

(2) Forward the MNS:

(a) For ACAT I programs, to the JROC Secretariat, CINCs, and the Joint Staff for an O-6 level detailed review, to other Services for an O-6 level review and joint potential designation (JPD) assessment, and, in the case of C4I systems, to JCS (J-6I) for interoperability certification. [Notes 2, 3 and 4]

(b) For all programs, to the other Services for JPD.

(3) For ACAT I programs, receive O-6 level comments from Joint Staff (normally 60-day turn around); return to sponsor.

(4) For ACAT II, III, and IV programs, receive JPD assessment comments from other Services (normally 30-day turn around); return to sponsor.

Step 2 NOTES:
(1) The program sponsor may have to repeat the initial review if the revisions are substantial.
(2) All MNSs, regardless of ACAT shall be routed to the Services for JPD determination, and in the case of C4I MNS for interoperability certification by JCS J-6. (See references (a) and (d) for details.) ACAT I MNSs shall be routed to JROC Secretariat for review and comment.
(3) CNO (N81) initial review shall be required before the MNS is forwarded to JROC Secretariat.
(4) CNO (N81) also staffs other Services' MNSs for JPD assessment and C4I review by the OPNAV staff. Appropriate codes shall include CNO (N51, N6, N83, N091), and others as topics relate.

3. Step 3 MNS Revision. The program sponsor shall:

a. Receive comments from OPNAV codes.

b. Receive other Service JPD comments and Joint Staff review comments.

c. Consolidate comments. For Navy programs, correct document as required. For USMC programs, forward OPNAV comments to MCCDC, as applicable.

d. For Navy ACAT I programs:

(1) Forward revised MNS to CNO (N81) for staffing and to JROC secretariat for O-7/8 review. Wait for response comments before proceeding, in order to incorporate recommended changes (normally 30-day turnaround).

(2) Consolidate and revise MNS as required.

e. Prepare smooth MNS with final flag-level endorsement signature page for endorsement (see appendix II, page II-12).

f. Coordinate with CNO (N801) for a Resources and Requirements Review Board (R3B), if required. [Note 1]

g. For Navy ACAT I programs, coordinate with CNO (N810) for JROC schedule and briefing following O-7/8 review. [Note 2]

h. Provide CNO (N810) with an advance copy of the smooth MNS prior to further staffing.

i. Forward revised MNS to applicable OPNAV codes for flag level endorsement: CNO (N091, N096, N1, N2, N3/5, N4, N6 (Space & Electronic Warfare (SEW) and C4I only), and N83 (CINC/FLTCINC endorsement)).

Step 3 NOTES:
(1) An R3B may be required before the MNS is endorsed and approved (see Note 2 under Step 7).
(2) The program sponsor shall coordinate with CNO (N810) in preparing and scheduling the JROC brief. CNO (N810) is designated as the Navy point of contact to the JROC and assists the program sponsor with joint review of the MNS.

4. Step 4 Flag-level Endorsement. Applicable OPNAV Codes (CNO (N091, N096, N1, N2, N3/5, N4, N6 (SEW and C4I only), and N83 (CINC/FLTCINC endorsement)) shall:

a. Receive MNS from the program sponsor for endorsement.

b. Review/endorse MNS (flag-level) on attached signature page.

5. Step 5 Final Review Preparation. The program sponsor shall:

a. Collect final flag-level endorsements.

b. For ACAT I programs, prepare proposed JROC briefing.

c. Forward final MNS with original flag-level signature endorsements and proposed JROC briefing to CNO (N810) for final coordination and processing. Include an electronic file of the MNS in CNO standard word processing software.

6. Step 6 Final Coordination. CNO (N810) shall:

a. Verify final document compliance and that all endorsements are received.

b. Forward ACAT II, III, and IV MNS to CNO (N8) for validation and approval (endorsement only of applicable USMC programs). Attach final approval signature page (see appendix II, page II-13). Proceed to Step 7.

c. Forward ACAT I MNS to, in order, CNO (N8), Vice Chief of Naval Operations (VCNO), CNO for endorsement (and, for USMC programs, Marine Corps Combat Development Command (MCCDC) for Assistant Commandant of the Marine Corps (ACMC) and Commandant of the Marine Corps (CMC) endorsement). Include JROC briefing with MNS. Proceed to Step 8.

7. Step 7 ACAT II, III, and IV Validation/Approval

a. CNO (N8) shall:

(1) Validate the MNS (Navy programs only). [Note 1]

(2) Approve Navy program MNSs. Endorse applicable USMC program MNSs (ACMC approves). [Note 2]

(3) Prioritize the mission need relative to other warfighting programs (may be R3B forum review [Note 3]).

b. CNO (N810) shall:

(1) For Navy programs, proceed to Step 12.

(2) For applicable USMC programs, forward endorsed MNS to MCCDC for ACMC review and approval.

Step 7 NOTES:
(1) The validation of the MNS confirms that the need is valid and there are no non-materiel alternatives.

(2) Approval is the formal sanction of the requirement document and certifies that the documentation has been subject to the uniform process of references (a) and (b).
(3) R3B may meet to review validity of documents, evaluate degree of joint participation expected, review interoperability issues, and assess risk and review priority of the need.

8. Step 8 ACAT I Endorsement. CNO (N8) shall:

   a. Review and endorse MNS (Navy and USMC programs).

   b. Forward MNSs to VCNO for review.

   c. Review and comment as needed on proposed JROC briefing (Navy programs only).

9. Step 9 VCNO Endorsement. VCNO shall:

   a. Review and endorse MNS (Navy and USMC programs).

   b. Forward MNS to CNO for review.

   c. Review and comment as needed on proposed JROC briefing (Navy programs only).

10. Step 10 CNO Endorsement

   a. CNO shall:

      (1) Review and approve MNS for Navy (endorse for USMC programs).

      (2) Comment as needed on proposed JROC briefing (Navy programs only).

   b. The program sponsor shall revise the JROC briefing as required (Navy programs only). Provide smooth version (five copies) to CNO (N810).

   c. CNO (N810) shall:

      (1) For Navy programs, forward approved MNS and proposed JROC briefing to JROC secretariat.

      (2) For USMC programs, forward endorsed MNS to MCCDC, as applicable.

11. Step 11 JROC (Navy ACAT I programs only)

   a. The program sponsor shall conduct formal pre-briefs with VCNO as scheduled by CNO (N810). Preliminary briefs with CNO (N8, N81) may also be required.

b. JROC validates and approves MNS.

12. Step 12 Issuance

a. CNO (N810) shall:

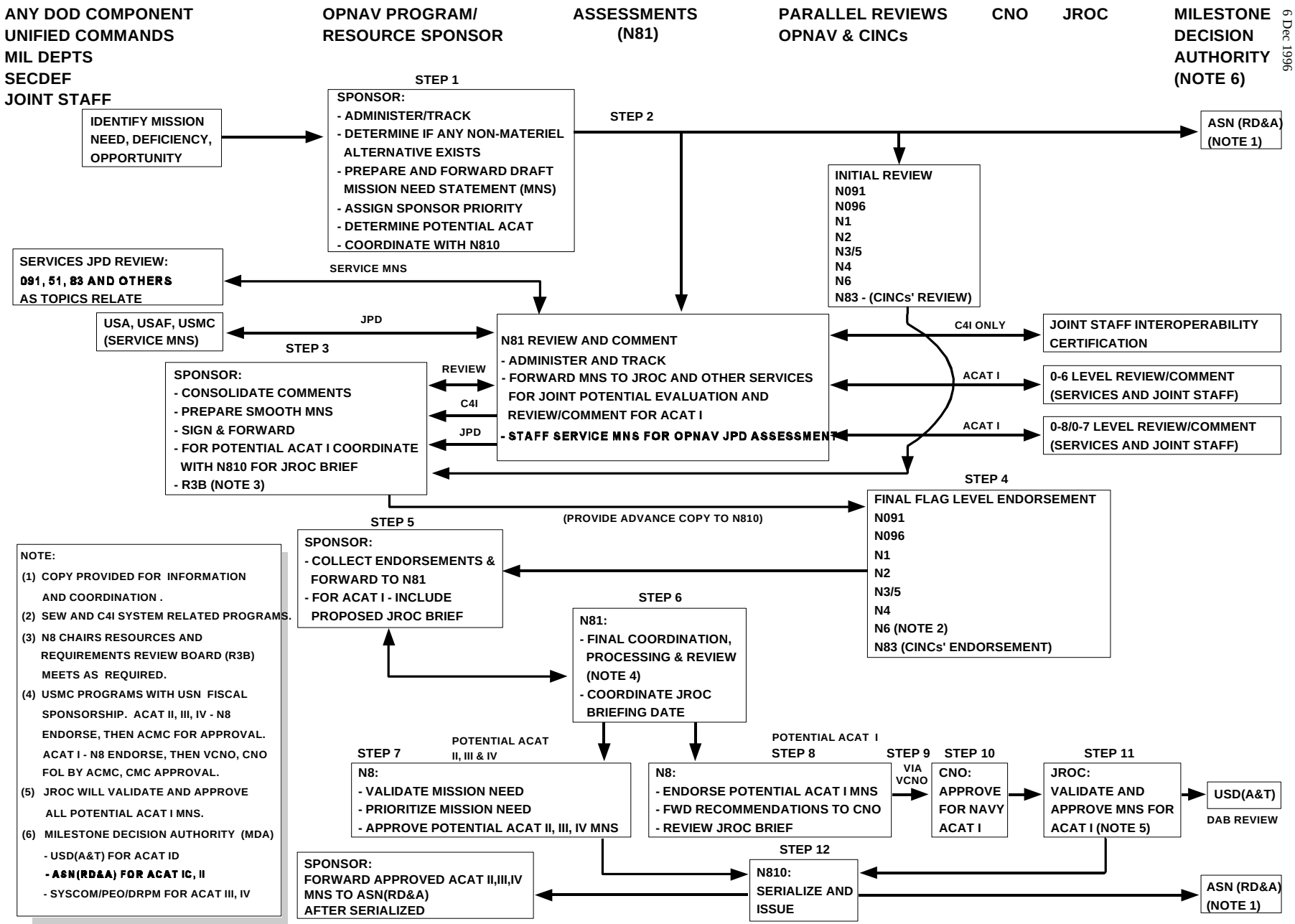
(1) Serialize MNS (M____-[Sponsor N-code]-CY). Provide copy to the program/resource sponsor.

(2) Issue the MNS.

b. The program sponsor shall forward the MNS to ASN(RD&A) for ACAT I forwarding or ACAT II designation, or PEO/SYSCOM/DRPM for ACAT III or IV designation, and initial milestone scheduling.

c. ASN(RD&A) shall forward potential ACAT I MNSs to USD(A&T) for designation and initial milestone scheduling.

MNS REVIEW, VALIDATION, AND APPROVAL PROCESS



(6) JROC WILL VALIDATE AND APPROVE ALL POTENTIAL ACAT I MNS.

(7) MILESTONNE DECISION

OPNAV MISSION NEED STATEMENT (MNS) COVER PAGES

(For Review)

MISSION NEED STATEMENT
FOR
[insert program long title]
(POTENTIAL ACAT ___)

SUBMITTED: PRIORITIZATION (*):_____

_____ _____
(PROGRAM SPONSOR) (DATE)

REVIEWED:

_____ _____
(N091) (DATE)

_____ _____
(N096) (DATE)

_____ _____
(N1) (DATE)

_____ _____
(N2) (DATE)

_____ _____
(N3/5) (DATE)

_____ _____
(N4) (DATE)

_____ _____
(N6) (DATE)

_____ _____
(N83 - CINC/FLTCINC review) (DATE)

_____ _____
(N81 - N8 review) (DATE)

(*) Prioritization: 1 = Essential 2 = Critical 3 = Important
(see appendix II, page II-4) 4 = Valid 5 = Excess
[Note: Use for initial MNS draft review of Navy and applicable (see paragraph 6) USMC programs. Flag-level signatures required.]
[Note: Initial draft review should be accomplished within 30 days, and does not need to be sequential.]

(For Endorsement) **MISSION NEED STATEMENT FOR**

[insert program long title]
(POTENTIAL ACAT ___)

SUBMITTED: PRIORITIZATION (*):_____

_____ _____
(PROGRAM SPONSOR) (DATE)

ENDORSED:

_____ _____
(N091) (DATE)

_____ _____
(N096) (DATE)

_____ _____
(N1) (DATE)

_____ _____
(N2) (DATE)

_____ _____
(N3/5) (DATE)

_____ _____
(N4) (DATE)

_____ _____
(N6 - SEW and C4I only) (DATE)

_____ _____
(N83 - CINC/FLTCINC Endorsement) (DATE)

FINAL COORDINATION, PROCESSING and FORWARDING:

_____ _____
(N81) (DATE)

(*) Prioritization: 1 = Essential 2 = Critical 3 = Important
(see appendix II, page II-4) 4 = Valid 5 = Excess
[Note: Use for final principal flag-level MNS endorsement of Navy and applicable (see paragraph 6) USMC programs]
[Note: Obtain all signatures before forwarding to CNO (N81) for final coordination, processing and forwarding]

(For Approval)

MISSION NEED STATEMENT
FOR
[insert program long title]
(POTENTIAL ACAT ___)
Serial Number: (*) _____

[Note: For ACAT II, III, and IV only:]

VALIDATED and APPROVED:

_____ _____
(N8) (DATE)

[Note: For ACAT I only:]

RECOMMENDED:

_____ _____
(N8) (DATE)

REVIEWED:

_____ _____
(VCNO) (DATE)

APPROVED FOR NAVY:

_____ _____
(CNO) (DATE)

VALIDATED and APPROVED:

_____ _____
(JROC) (*) (DATE)

[Note: Use for Final MNS Approval. CNO (N81) will attach this cover page.]

(*) - CNO (N810) will assign serial number once validated and approved. For ACAT I programs, CNO (N810) will insert JROC validation and approval date prior to issuance.

ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 2 - ANALYSIS OF ALTERNATIVES DEVELOPMENT PROCEDURES

1.1 Analysis of Alternatives Overview

While the use of analyses to support programmatic decisions is not new, the analysis of alternatives process brings formality to this support. The process provides a forum for involving the Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) and the acquisition community in analysis of alternative trade-off discussions, and formulation and documentation of the analytical underpinning for program decisions.

1. CNO/CMC, who are responsible for representing the user, establishing performance requirements, and for the planning, programming, and budgeting system, benefit by:

a. Formally participating in alternative performance and cost trade-off discussions.

b. Gaining early insight into life-cycle costs.

2. Program managers benefit through:

a. Timely resolution of cost and performance trade-offs.

b. Early scoping of operational evaluation (OPEVAL) resource issues.

c. Analysis and discussions supporting establishment of OPEVAL thresholds and objectives.

3. Hence, an analysis of alternatives is more than a record of pertinent program related analyses; it is also a process that includes a forum for framing and discussing milestone decision authority (MDA)-level issues. This idea is expanded in the next paragraph.

4. Oversight of the analysis involving senior, experienced, and empowered individuals from both acquisition and CNO/CMC communities plays a central role in the analysis process. For example, the analysis of alternatives integrated product team (IPT) provides advice and counsel as alternative concepts,

scenarios, and assumptions are being formulated. Reviews of in-progress analysis ensures the analysis addresses the key issues at hand and that associated assumptions and limitations are clearly stated. This process provides a forum for the acquisition and CNO/CMC communities to define and weigh trade-off opportunities - supported, as appropriate, by analyses. These discussions, as much as the analytic studies that take place, are a vital characteristic of the analysis of alternatives process.

5. The focus of an analysis of alternatives is a function of the program's milestone. Milestone I analysis of alternatives helps the MDA choose a preferred system concept and decide whether the cost and performance of the concept warrants initiating an acquisition program. Milestone I analysis of alternatives can also illuminate the concept's cost and performance drivers and key trade-off opportunities; and provides the basis for the establishment of operational performance threshold and objective values for use in the ORD, APB, and test and evaluation master plan (TEMP).

6. At Milestone II, the analysis refines the analysis of alternatives drivers and performance threshold and objective values.

7. Since cost and performance issues have typically been resolved prior to Milestone III, an analysis of alternatives is normally not required to support this milestone.

1.2 <u>Analysis of Alternatives Focus and Scope</u>

The intent of an analysis of alternatives is two-fold: to aid in the resolution of MDA-level issues and to provide analytical insight and basis for the establishment of operational performance characteristics. Candidate issues shall be listed in the analysis of alternatives scope of analysis (described below). The MDA and CNO/CMC, in conjunction with the analysis of alternatives IPT, shall control the focus and scope of the analysis of alternatives by adding to or deleting from issues listed in the scope of analysis.

1. The scope of analysis should correlate to the amount of resources affected by the decision, with ACAT III programs receiving less analytical attention than ACAT I and II programs. For example, campaign level analyses will rarely be needed to illuminate ACAT III-level issues.

2. If the preferred alternative has already been identified by previous analyses and the MDA and CNO/CMC formally agree that all issues have already been resolved or that further analysis is unlikely to aid in the resolution of outstanding issues, a new analysis effort shall not be initiated. (If these conditions were met, the analysis of alternatives shall simply present the rationale and any existing analyses applicable to program decisions already made.)

3. For ACAT IV programs, the analysis shall be tailored and shall be less rigorous than that of ACAT II or III programs. However, in the unique situation where the resolution of substantive issues would benefit from a more rigorous process, the MDA shall direct the conduct of a more in-depth analysis.

4. With few exceptions, technical studies are beyond the scope of an analysis of alternatives. These studies are conducted under the supervision of the program manager who shall then supply the results for incorporation in the analysis of alternatives.

1.3 Initiation of the Analysis of Alternatives Process

The program sponsor, in coordination with the analysis of alternatives IPT, shall be responsible for developing the scope of analysis. At a minimum, this scope of analysis shall identify the activity responsible for conducting the analysis, alternatives to be addressed, proposed completion date, operational constraints associated with the need, and specific issues to be addressed. These issues shall be well thought out to ensure the analysis is comprehensive and addresses the pertinent MDA-level issues to be resolved at the upcoming decision meeting.

1. The scope of the analysis shall be approved by the individuals shown in the following table:

	ACAT ID	ACAT IC/II/III	ACAT IV
Scope of Analysis Approval	ASN(RD&A), or designee, & CNO(N8) or DC/S(P&R)	MDA, or designee, & CNO(N8) or DC/S(P&R)	MDA & Program Sponsor (flag) or CG, MCCDC

2. CNO (N81)/CG, MCCDC shall be responsible for coordinating CNO (N8)/DC/C(P&R) final approval.

1.4 Oversight of the Analysis of Alternatives Process

An IPT shall oversee all DON analysis of alternatives and shall provide advice and counsel to the independent analysis director and recommendations to the MDA and CNO/CMC. MDAs shall ensure that an IPT is tailored in scope and size to each specific analysis of alternatives. The oversight provided by an IPT is intended to assess the validity and completeness of key program issues, alternatives, assumptions, measures of effectiveness (MOEs), scenarios, concept of operations and threat characteristics.

1. The analysis of alternatives IPT shall equally represent the acquisition and requirements communities. For Navy programs, in the rare occasion when the program sponsor is not the requirements community co-chair, CNO (N81) will be.

2. In the event consensus cannot be readily obtained at this oversight level, issues shall be framed and raised for MDA and CNO (N8)/DC/S(P&R), or designee, resolution.

3. For Marine Corps programs, the analysis of alternatives IPT is similarly composed with DC/S(P&R), Marine Corps Combat Development Command (MCCDC), Marine Corps Systems Command (MARCORSYSCOM), and MCOTEA substituting for their Navy counterparts.

1.5 Analysis Director Role in the Process

An analysis director shall be assigned to plan, lead, and coordinate funding for analysis efforts. Directors are independent of, but receive advice and counsel from an IPT.

1. Analysis directors shall:

   a. Be independent of the PM.

   b. Have a strong background in analysis.

   c. Have technical and operational credibility.

2. Once the analysis of alternatives' scope of analysis has been approved, the analysis director shall draft the analysis plan. This plan shall contain details associated with:

   a. Issues to be addressed in the analysis.

   b. Alternatives to be analyzed.

   c. Scenarios (including the threat laydown) to be

used.

d. Mathematical models or simulations to be employed.

e. MOEs (and as appropriate, associated Measures of Performance (MOPs)) to be used.

f. Work plan including a listing of responsibilities (effort and schedule) for supporting organizations.

g. Plan of action and milestones (POA&M) corresponding with milestones listed in the approved scope of analysis.

3. Along with their other duties, analysis directors shall:

a. Act as spokesperson by presenting periodic analysis briefings (see paragraph 1.9 on briefings/reports below).

b. Ensure that measures are taken to coordinate ACAT I program analysis efforts with all appropriate external agencies.

c. Organize an analysis team to assist in planning, conducting, and evaluating the analysis. This analysis team shall include representatives from the organizations represented in the analysis of alternatives IPT, as necessary.

4. In the event that a contractor is employed as an analysis director, actions shall be taken to avoid both the appearance and existence of an organizational conflict of interest.

1.6 <u>CNO Role in the Analysis of Alternatives Process</u>

CNO (N8) shall be jointly responsible with the ASN(RD&A) for top-level oversight of the analysis of alternatives process. In this role, CNO (N8) shall facilitate the process of arriving at consolidated CNO positions on matters relating to alternatives analysis and is the final CNO approval authority for ACAT I, II, and III program analysis decisions. For ACAT IV programs, these tasks shall be performed by the program sponsor.

1. CNO program sponsors shall be responsible for providing active user representation on analysis of alternatives IPTs, proposing an analysis of alternatives scope of analysis, and planning and programming efforts as detailed in this instruction, enclosure (2), paragraph 2.4. (PEOs/SYSCOMs or DRPMs/PMs, as appropriate, in conjunction with the cognizant resource sponsors, are responsible for budgeting for and execution of this funding.)

2. The Director of Naval Intelligence shall validate the threat capability described in an analysis of alternatives.

3. Director, Test and Evaluation and Technology Requirements (CNO (N091)) shall provide advice and

counsel with respect to MOEs and MOPs used in analysis of alternatives. The intent is to ensure that criteria used to justify acquisition decisions are either directly testable through MOEs or are indirectly testable through MOPs. CNO (N091) shall forward MOEs and MOPs developed during the analysis of alternatives to COMOPTEVFOR for review with respect to their testability.

4. The Head, Requirements and Acquisition Support Branch (CNO (N810)) is the CNO (N8) point of contact for matters relating to analysis of alternatives. As the OPNAV tracker for processing analysis of alternatives, CNO (N81) shall be provided copies of all correspondence and documentation associated with all analysis of alternatives.

5. Deputy Chief of Naval Operations (Plans, Policy and Operations) (CNO (N3/5)) shall develop and accredit scenarios consistent with Defense Planning Guidance for use in analyses of alternatives.

6. Director, Space and Electronic Warfare (CNO (N6)) shall accredit all models used in analyses of alternatives.

7. Deputy Chief of Naval Operations (Manpower and Personnel (CNO (N1)) is the point of contact for matters relating to manpower requirements analysis of requirements. The intent is to ensure IPTs fully explore manpower implications of new weapons systems and alternatives that favor reductions in manpower, personnel and training, and total life-cycle cost.

1.7 <u>CMC Role in the Analysis of Alternatives Process</u>

The DC/S(P&R) is jointly responsible with the ASN(RD&A) for overseeing Marine Corps analysis activities. In this role, DC/S(P&R) facilitates the process of arriving at consolidated CMC positions on analysis of alternatives matters and acts as the final CMC approval authority for analysis of alternatives directors, analysis plans, and formal reports for ACAT I, II, and III analyses. MCCDC (C44) and MARCORSYSCOM jointly perform these functions for ACAT IV analyses of alternatives.

1. In support of analyses that require Marine Corps-unique operations, DC/S(P&R) shall develop and accredit scenarios consistent with Defense Planning Guidance.

2. MCCDC shall provide for active user representation to

the analysis director, as well as planning, programming, and budgeting funding for analysis of alternatives activities conducted prior to program initiation.

3. As the resource sponsor, DC/S(P&R) shall plan, program, and budget funding to support analysis of alternatives efforts following program initiation. In conjunction with PEOs/DRPMs/PMs, as appropriate, DC/S(P&R) shall budget for these analysis efforts.

4. The Director of the United States Marine Corps Intelligence Center (USMCIC) shall validate the threat capability described in Marine Corps analyses.

5. MCOTEA personnel shall provide advice and counsel with respect to MOEs and MOPs used in analyses. The intent is to ensure that criteria used to justify acquisition decisions are either directly testable through MOEs or are indirectly testable through MOPs. DC/S(P&R) shall forward MOEs and MOPs developed during the analysis of alternatives for Marine Corps programs to Director, MCOTEA for review with respect to their testability.

6. For ACAT III and IV programs, the Marine Corps analysis of alternatives Standing IPT provides advice and counsel to DC/S(P&R)(ACAT III)/CG, MCCDC(ACAT IV) and MARCORSYSCOM. They review and prioritize analyses considering urgency of need, to ensure maximum efficiency in cost, time, and level of effort. The Standing IPT also advises the MDA on tailoring analysis of alternatives. During the conduct of formal analyses of alternatives, the IPT shall provide guidance to the analysis director.

1.8 PM Role in the Analysis of Alternatives Process

As a member of the analysis of alternatives IPT, the PM shall provide analysis directors valuable advice and counsel, particularly regarding the executability of proposed alternatives. In conjunction with the resource sponsor, PMs shall provide and execute analysis funding in support of the analysis director's plan. PMs shall also be responsible for ensuring appropriate organizational conflict of interest clauses are included in contracts for analysis of alternatives-related services. As the sole person who is privy to related industry efforts, the PM shall be responsible for providing feedback so that analysis of alternatives efforts can be coordinated with ongoing industrial concept exploration studies. The intent is for both efforts to be comprehensive and complementary.

1.9 Briefings/Reports

1. Typically an analysis of alternatives proceeds in the following five phases:

a. Planning.

b. Determination of performance drivers.

c. Determination of cost drivers.

d. Resolution of cost/performance issues.

e. Preparing final briefing, and final report, if necessary.

2. To ensure an analysis of alternatives is progressing satisfactorily and will be completed in time to support an acquisition milestone, analysis directors shall provide status briefings to the analysis of alternatives IPT, when requested.

3. At the end of the process, the analysis of alternatives IPT shall be presented a final briefing of analysis results. If required, the final report and the associated brief shall also be reviewed by the analysis of alternatives IPT. The intent is to ensure all issues have been addressed and that the brief accurately represents the analysis. The final report for an ACAT I or II program is approved by ASN(RD&A) and CNO (N8)/CMC (DC/S(P&R)), if required. The final report for an ACAT III program is approved by the MDA and CNO (N8)/CMC (DC/S(P&R)), if required. The final report for an ACAT IV program is approved by the MDA and program sponsor, if required. (See the Deskbook (DON Section) for sample final report approval signature pages.)

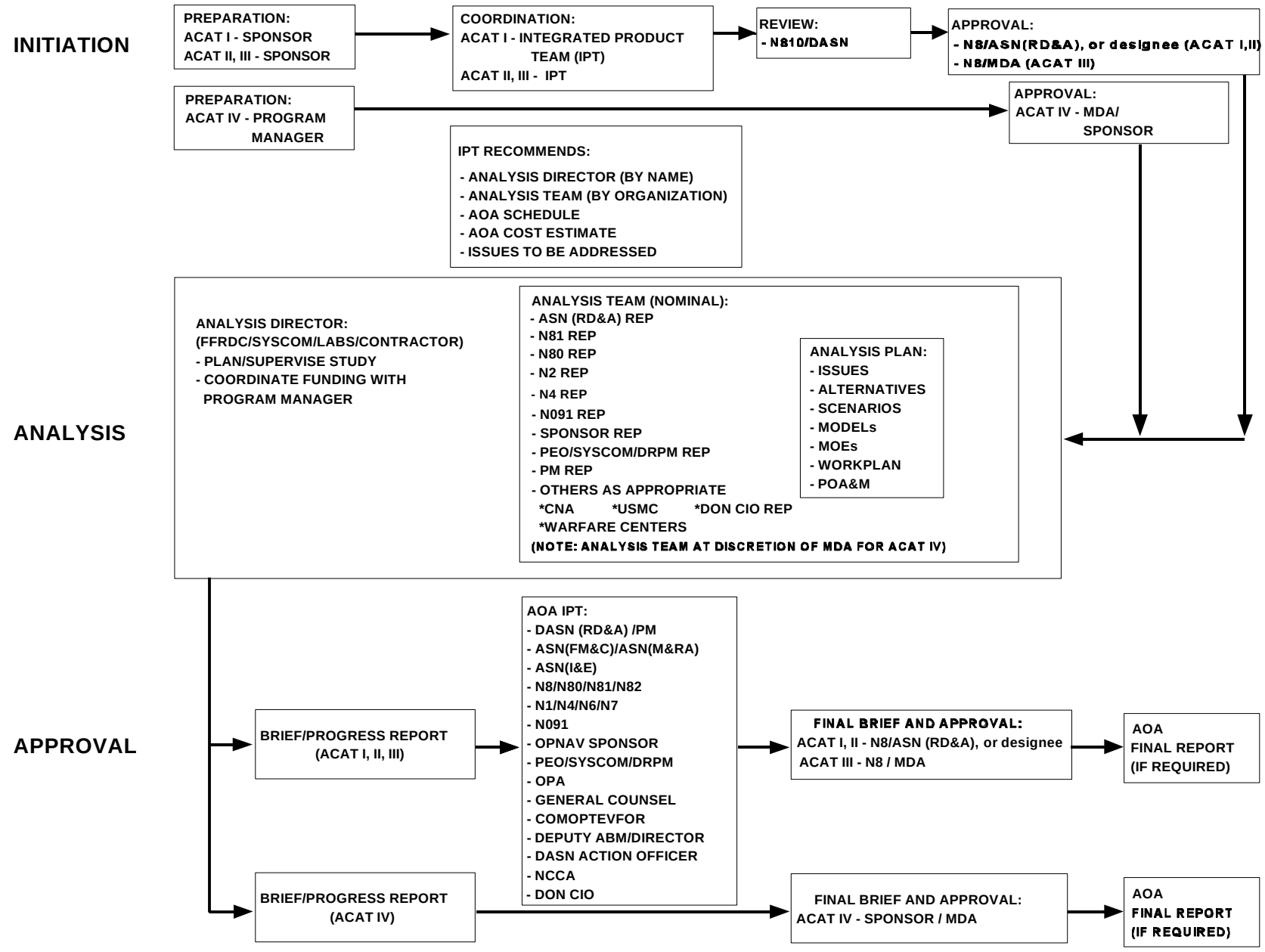
4. In the case of ACAT ID programs, ASN(RD&A) and CNO (N8) or CMC (DC/S(P&R)), as appropriate, shall approve the analysis of alternatives performance parameters approximately 120 days prior to the Defense Acquisition Board (DAB) date. This shall support the Joint Requirements Oversight Council (JROC) review of the key performance parameter thresholds and objectives, as specified in the ORD and APB.

5. A copy of all approved ACAT I, II, III, and IV analysis of alternatives final reports, if required, shall be provided to COMOPTEVFOR, or Director, MCOTEA, as appropriate. A copy shall also be provided to CNO (N810), as the OPNAV historian for analysis of alternatives.

1.10 <u>Navy Analysis of Alternatives Process</u>

The Navy analysis of alternatives process diagram is shown on the next page. A sample scope of analysis and final report signature approval pages are provided in the Deskbook (DON Section).

ASN(RD&A)/OPNAV AOA INITIATION, ANALYSIS, AND APPROVAL PROCESS



ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 3 - OPERATIONAL REQUIREMENTS DOCUMENTS

References: (a) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(b) Chairman Joint Chiefs of Staff Memorandum of Policy No. 77, "Requirements Generation System Policies and Procedures," 17 Sep 92 (NOTAL)
(c) MCO 3900.4D, "Marine Corps Program Initiation and Operational Requirement Documents," 31 Jan 91 (NOTAL)

1.1 Procedures

1.1.1 Preparation and Submission

1. The analysis of alternatives normally leads the development of the ORD. The analysis of alternatives and ORD may be developed and updated in parallel. However, since the final ORD should be consistent with the analysis of alternatives, the analysis of alternatives results need to be available early in the ORD review cycle to allow for ORD independent validation efforts. Thus, the minimum acceptable operational requirements (i.e., thresholds) and objectives in the ORD shall consider and be consistent with the analysis of alternatives results for each milestone. References (a) and (b) provide the format and guidance for DON development of the ORD. Reference (c) also provides guidance for Marine Corps program ORD development.

1.1.2 Review Procedures

1. This section, following the "ORD Review, Validation, and Approval Process" graphic, contains the OPNAV ORD signature cover page formats.

2. This section describes the OPNAV ORD implementation procedures for preparation, review, endorsement, validation, and approval. Marine Corps ORDs, for programs that require Navy fiscal sponsorship, are processed in accordance with reference (c) and enclosure (7), appendix II, annex A, section 3, paragraph 6, Step 6 Final Coordination.

OPERATIONAL REQUIREMENTS DOCUMENT (FORMAT)

OPERATIONAL REQUIREMENTS DOCUMENT

FOR

PROGRAM TITLE

(Paragraphs 4a and 4b in the ORD format in reference (a), appendix II, shall be implemented in DON as clarified in paragraphs 4a(1), 4b(1), 4b(2), and 4b(3) below:)

4. Capabilities Required. Identify....

a. System Performance. Describe....

(1) Base all performance thresholds on an analysis of mission demands and comparable fleet and commercial system experience. Thresholds and objectives shall be stated in measurable terms.

b. Logistics and Readiness. Include....

(1) Readiness thresholds shall account for all system downtime, including scheduled maintenance.

(2) Diagnostics effectiveness thresholds shall be established for systems whose faults are to be detected by external support equipment or built-in test (BIT). Threshold parameters shall include percent correct fault detection, percent correct fault isolation to a specified ambiguity group, and percent false alarms.

(3) The calculation of mean time between operational mission failure (MTBOMF), shall be used as the operational system reliability parameter during OT&E, including OPEVAL.

OPNAV OPERATIONAL REQUIREMENTS DOCUMENT PROCEDURES

1. Step 1 ORD Initiation or Updating. This step applies to initiation of a new ORD or updating an existing ORD prior to a milestone. The program sponsor shall:

   a. Administer/track operational requirements processing.

   b. Verify that the exit criteria for the approaching milestone decision have been met.

   c. Prepare a draft ORD based upon the emerging results of an analysis of alternatives. [Note 1]

   d. Assign sponsor's priority. [Note 2]

   e. Ensure that the performance parameters, specified in terms of thresholds and objectives, satisfy the mission need. Also ensure that key performance parameters in the ORD are identified in such a fashion that they may be extracted and included in the acquisition program baseline (APB).

   f. Coordinate with the PEO/SYSCOM/DRPM/PM or the cognizant Deputy Assistant Secretary of the Navy (Research, Development and Acquisition) (DASN(RD&A)) to verify the potential ACAT.

   g. Coordinate with CNO (N810) before routing to ensure appropriate OPNAV codes are identified and that the document complies with references (a) and (b) and this instruction. Use initial draft review signature page for routing (see this instruction, enclosure (7), appendix II, annex A, section 3, ORD "(For Final Review)" Cover Page). [Note 3]

Step 1 NOTES:

(1) Draft ORDs for applicable (see paragraph 6, Step 6) USMC programs shall be forwarded from MCCDC.

(2) Program sponsor priority ranking categories:

   (a) "1" Essential capability absolutely necessary for the success of (joint) operations. Includes programs which are mandated by regulations or necessary for the safe operation of (joint) forces (i.e., a cost of doing business).

   (b) "2" Critical program to ensure that (joint) combat effectiveness is not jeopardized. Loss of capability would result in a severe risk to (joint) forces in carrying out a mission.

   (c) "3" Important program to (joint) combat effectiveness. Precludes serious risk in one or more (joint) mission areas. Lost capability could result in increased losses or extended timeliness but would not jeopardize overall (joint) mission.

   (d) "4" Valid warfighting capability that provides marginal contribution to (joint) combat effectiveness. Loss may result in some risk to (joint) operations. May be duplicative with another service(s) capability.

   (e) "5" Excess capability. Could be replaced by another intra/inter-service program with minimum impact on (joint) combat effectiveness.

(3) Reference (a), appendix II, paragraph 5h, requires identification of "procedural and technical interfaces, and communication, protocols, and standards required to be incorporated to ensure compatibility and interoperability with other Service, Joint Service, and Allied systems." A statement addressing the specific capabilities required for joint interoperability shall be made. If interoperability is not a requirement, so state.

2. Step 2 Initial review

a. The program sponsor shall:

(1) Distribute the draft ORD concurrently to CNO (N091, N096, N1, N2, N3/5, N4, N6, N81, N83 (for CINC and FLTCINC)) for review and comment. [Notes 1 and 2]

(2) Forward a copy of the draft ORD to ASN(RD&A) and the cognizant SYSCOM/PEO/DRPMs for information.

b. CNO (N81) shall:

(1) Enter the draft ORD into the requirements document library data base. [CNO (N810)]

(2) Review ORD and forward comments to sponsor. [CNO (N810/N815)]

(3) Forward the following types of ORDs to the other Services for joint assessment

(a) ORDs which have been preceded by a MNS which was evaluated joint or joint interest.

(b) ORDs which, on an exception basis, have not been preceded by a MNS.

(4) In addition to joint assessment, C4I related ORDs shall be forwarded to JCS(J-6I) for a C4I interoperability certification by JCS(J-6). [Notes 3 and 4]

Step 2 NOTES:
(1) The program sponsor shall repeat the initial review if the revisions are substantial.
(2) CNO (N091) shall forward ORD to COMOPTEVFOR for review. CNO(N091) shall provide consolidated comments.
(3) CNO (N81) signature on the applicable review signature page (see appendix II, page II-32) shall be required before the ORD is forwarded to JROC secretariat.
(4) CNO (N81) also staffs other Services' ORDs which have MNSs evaluated as joint or joint interest, or are not preceded by a MNS, to reassess JPD review by OPNAV staff. Appropriate OPNAV codes for review shall include CNO (N51, N6, N83, N091) and others as topics relate.

3. Step 3 ORD revision. The program sponsor shall:

a. Consolidate comments and revise document as required. For

USMC programs, forward OPNAV comments to MCCDC, as applicable.

b. For Navy programs, prepare smooth ORD with final flag-level endorsement signature page (see at end of this section).

c. Coordinate with CNO (N801) for R3B, if required. A R3B may be convened before the ORD is validated and endorsed/approved (see Note 2 under Step 7). CNO (N801) schedules R3B.

d. For Navy ACAT ID programs, coordinate with CNO (N810) for JROC schedule and briefing. CNO (N810) assists the sponsor with the joint review of the key performance parameters extracted from the ORD and included in the APB.

e. Ensure CNO (N810) is provided an advance copy of the smooth ORD prior to starting final flag-level endorsement.

f. Forward the ORD concurrently to applicable OPNAV codes for final flag-level endorsement: CNO (N091, N096, N1, N2, N3/5, N4, N6 (Space and Electronic Warfare (SEW) and C4I Only), N83 (for CINC and FLTCINC endorsement)).

4. Step 4 Final Flag-level endorsement. Applicable OPNAV codes (CNO (N091, N096, N1, N2, N3/5, N4, N6 (SEW and C4I only), and N83 (for CINC and FLTCINC endorsement)) shall review and endorse ORD (flag-level) on attached signature page.

5. Step 5 Final review preparation. The program sponsor shall:

a. For Navy ACAT ID programs, prepare proposed JROC briefing.

b. For ACAT I programs, obtain CNO (N80) endorsement of the draft APB.

c. Forward final ORD with original flag-level signature endorsements, draft APB, and approved analysis of alternatives results to CNO (N81) for final coordination and processing. For Navy ACAT ID programs, include the proposed JROC briefing, draft APB performance section, and an electronic file in CNO standard word processing software.

6. Step 6 Final coordination. CNO (N810) shall:

a. Verify that the final document complies with references (a) and (b) and this instruction, and that all endorsements have been received.

b. Forward ACAT II, III, and IV ORDs to CNO (N8) for validation and approval (endorsement only for applicable USMC programs). Attach final approval signature page (see appendix II,

page II-34). Proceed to Step 7.

c. Forward ACAT I ORDs to, in order, CNO (N8), VCNO, CNO for validation and endorsement/approval (and, for USMC programs, to MCCDC for ACMC endorsement and CMC approval). For Navy ACAT ID programs, include proposed JROC briefing, and draft APB performance section. Proceed to Step 8.

7. Step 7 ACAT II, III , and IV validation and approval

a. CNO (N8) shall:

(1) Validate and approve Navy program ORDs. Endorse applicable USMC program ORDs (ACMC approves). [Notes 1 and 2]

(2) Prioritize the need for the system relative to other warfighting programs (may be a R3B decision forum [Note 3]).

b. CNO (N810) shall:

(1) For Navy programs, proceed to Step 12.

(2) For applicable USMC programs, forward endorsed ORD to MCCDC for ACMC validation and approval.

Step 7 NOTES:
(1) Validation of the ORD confirms that the capabilities provided by the objectives and thresholds of the performance parameters will fulfill the mission need, and that the key performance parameters are essential for mission need accomplishment.
(2) Approval is the formal sanction of the requirements document and certifies that the documentation has been generated through the process required by references (a) and (b) and this instruction.
(3) R3B may meet to review validity of documents and: (a) Concur that the selected approach is the most operationally sound and cost effective. (b) Evaluate whether the ORD and the key performance parameters of the APB meet the mission need. (c) Evaluate degree of joint participation expected. (d) Review interoperability issues. (e) Assess risk and review priority of need.

8. Step 8 ACAT I endorsement. CNO (N8) shall:

   a. Review and endorse ORD (Navy and USMC programs).

   b. Forward ORD to VCNO.

   c. Review and comment as needed on proposed JROC briefing (Navy programs only).

   d. For Navy ACAT IC programs, validate the key performance parameters from the performance section of the draft APB (extracted from the ORD).

9. Step 9 VCNO endorsement. VCNO shall:

   a. Review and endorse ORD (Navy and USMC programs).

   b. Forward to CNO.

   c. Review and comment as needed on proposed JROC briefing (Navy programs only).

10. Step 10 CNO validation and approval

   a. CNO shall:

      (1) For ACAT ID programs: endorse Navy program ORDs (validate and approve if JROC delegates authority), endorse ORDs for applicable USMC programs. Comment as needed on proposed JROC briefing (Navy programs only).

      (2) For ACAT IC programs: validate and approve Navy ORDs, endorse ORDs for applicable USMC programs.

   b. The program sponsor shall (for Navy ACAT ID programs) revise JROC briefing, as required, provide a smooth version (five copies) to CNO (N810).

   c. CNO (N810) shall:

      (1) For Navy ACAT ID programs, forward key performance parameters from the performance section of the draft APB (extracted from the ORD) and proposed JROC briefing to JROC secretariat.

      (2) For Navy ACAT IC programs, proceed to Step 12.

      (3) For all applicable USMC ACAT I programs, forward endorsed ORD to MCCDC.

11. Step 11 JROC (Navy ACAT I programs only)

   a. The program sponsor shall conduct formal pre-briefs with VCNO as scheduled by CNO (N810). Preliminary briefs with CNO (N8 and N81) may also be required.

   b. JROC validates and approves as follows:

      (1) For ACAT ID programs: validates and approves ORD (except when authority delegated to CNO), validates the key performance parameters (extracted from the ORD). Vice CJCS forwards the key performance parameters to USD(A&T) for a Defense Acquisition Board (DAB) review.

12. Step 12 Issuance

a. CNO (N810) shall:
   (1) Serialize (____-[program sponsor N-code]-CY). Provide copy to the program/resource sponsor.

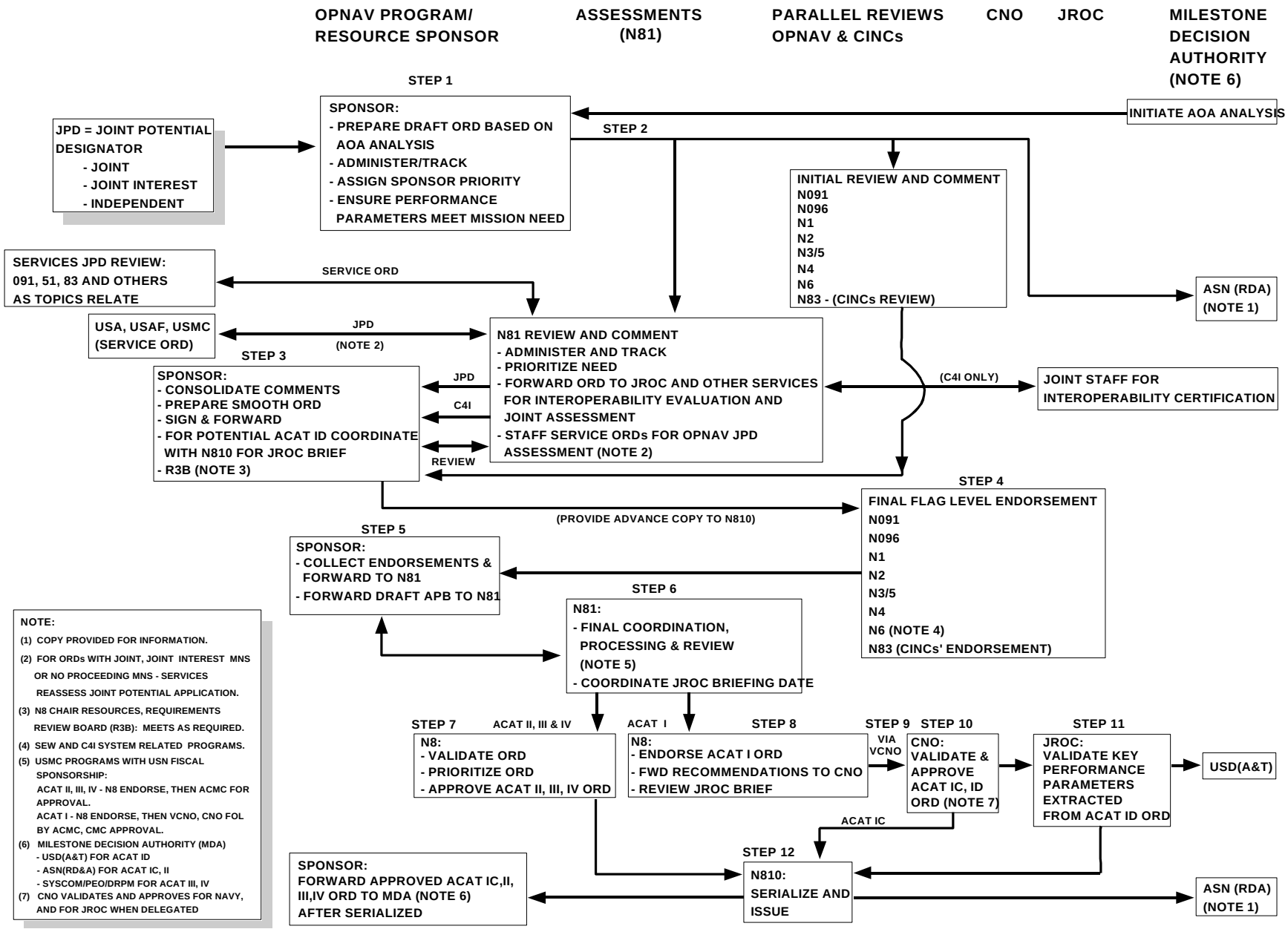
   (2) Issue ORD.

b. Following ORD approval, the program sponsor endorses the APB in accordance with this instruction, enclosure (7), appendix II, annex A, section 4, Acquisition Program Baseline Format Cover Sheet.

c. The program sponsor shall forward the approved ORD to the MDA and PM.

d. PEO/SYSCOM/DRPM shall schedule a milestone meeting.

ORD REVIEW, VALIDATION, AND APPROVAL PROCESS



OPNAV OPERATIONAL REQUIREMENTS DOCUMENT COVER PAGES

(For Review)

OPERATIONAL REQUIREMENTS DOCUMENT
FOR
[insert program long title)
(POTENTIAL ACAT ___)

SUBMITTED: PRIORITIZATION (*): _____

_____ _____
(PROGRAM SPONSOR) (DATE)

REVIEWED :

_____ _____
(N091) (DATE)

_____ _____
(N096) (DATE)

_____ _____
(N1) (DATE)

_____ _____
(N2) (DATE)

_____ _____
(N3/5) (DATE)

_____ _____
(N4) (DATE)

_____ _____
(N6) (DATE)

_____ _____
(N83 - CINC/FLTCINC review) (DATE)

_____ _____
(N81 - N8 review) (DATE)

(*) Prioritization: 1 = Essential 2 = Critical 3 = Important
(See appendix II, page II-25) 4 = Valid 5 = Excess

[Note: Use for initial ORD draft review of Navy and applicable (see paragraph 6) USMC programs. Flag-level signatures required.]

[Note: Initial draft review should be accomplished within 30 days, and does not need to be sequential.]

OPERATIONAL REQUIREMENTS DOCUMENT
(For Endorsement) **FOR**
[insert program long title]
(POTENTIAL ACAT ___)

SUBMITTED: PRIORITIZATION(*):_____

_____ _____
(PROGRAM SPONSOR) (DATE)

ENDORSED:

_____ _____
(N091) (DATE)

_____ _____
(N096) (DATE)

_____ _____
(N1) (DATE)

_____ _____
(N2) (DATE)

_____ _____
(N3/5) (DATE)

_____ _____
(N4) (DATE)

_____ _____
(N6 - SEW and C^4I only) (DATE)

_____ _____
(N83 - CINC/FLTCINC endorsement) (DATE)

FINAL COORDINATION, PROCESSING and FORWARDING:

_____ _____
(N81) (DATE)

(*) Prioritization: 1 = Essential 2 = Critical 3 = Important
(See appendix II, page II-25) 4 = Valid 5 = Excess
[Note: Use for final principal flag-level ORD endorsement of Navy and applicable (see paragraph 6) USMC programs]
[Note: Obtain all signatures before forwarding to N81 for final coordination, processing and forwarding]

(For Approval)

OPERATIONAL REQUIREMENTS DOCUMENT FOR

[insert program long title]
(POTENTIAL ACAT ___)
Serial Number (*) : _____

[Note: For ACAT II, III, and IV programs:]

VALIDATED and APPROVED:

_____ _____
(N8) (DATE)

[Note: For ACAT I programs:]

RECOMMENDED:

_____ _____
(N8) (DATE)

REVIEWED:

_____ _____
(VCNO) (DATE)

VALIDATED and APPROVED (**):

_____ _____
(CNO) (DATE)

VALIDATED and APPROVED:

_____ _____
(JROC) (*) (DATE)

[Note: Use for final ORD approval. N810 will attach this cover page]

(*) - CNO (N810) will assign serial number once validated and approved. For ACAT ID programs, CNO (N810) will insert JROC validation and approval date prior to issuance.

(**)- CNO validates and approves for Navy and for JROC when delegated.

ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 4 - ACQUISITION PROGRAM BASELINES (APBs)/ APB DEVIATIONS

References: (a) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)

1.1 Procedures

1.1.1 Baseline Preparation

Acquisition program baselines (APBs) shall include an endorsement signature from CNO (resource sponsor (flag level))/CMC (CG, MCCDC) as shown in this instruction, enclosure (7), appendix II, annex A, section 4, Acquisition Program Baseline Format Cover Sheet. APBs for ACAT I and II programs shall be forwarded to ASN(RD&A) for DON approval after the required DON signatures have been obtained. For ACAT III and IV programs, the APB shall be forwarded to the appropriate MDA for DON approval. Additionally, the APB for ACAT I programs shall be provided to ASN(RD&A) on floppy disc in the Consolidated Acquisition Reporting System (CARS) format.

Changes to the APB shall be processed and approved in the form of an amended APB. OPNAV program deviation reporting processing procedures are provided in this section, paragraph 1.3.

1.1.2 OPNAV Processing Procedures

The diagram at the end of this section visually depicts the OPNAV APB review process. The focal point for OPNAV review of the APB is the requirements officer (RO) who shall work with the PM during APB preparation. To facilitate the RO's task, the PM shall supply copies of the APB for review. An expeditious OPNAV review is needed. The OPNAV codes that participate in the APB review are shown in the diagram at the end of this section. The RO shall provide OPNAV comments to the PM and shall attempt, with the PM, to resolve all OPNAV issues.

1.1.3 APB and ORD Coordination

For Navy programs, the PM shall provide a copy of the performance section of the draft APB to the resource sponsor to support the ORD validation and approval process.

1.2 Responsibilities and Points of Contact

1.2.1 OPNAV Responsibilities

1. After preparation by the PM, the APB shall be forwarded to the resource sponsor for OPNAV review and validation. CNO (N4, N6, N8, and N091) shall review those parts of the APB under their cognizance.

2. Before signing the APB, the resource sponsor shall first obtain CNO (N80 and N81) endorsements on the draft APB performance, cost, and schedule parameters to ensure consistency with joint mission area assessments, the investment balance review (IBR), and affordability within the Planning Programming and Budgeting System (PPBS).

3. Following coordination with CNO (N80 and N81) and appropriate OPNAV offices, the resource sponsor (flag officer) shall sign the appropriate line of the cover sheet as an endorsement by the user representative and forward it to ASN(RD&A) for ACAT I and II programs and to the PEO/SYSCOM/DRPM for ACAT III and IV programs.

4. The resource sponsor (flag officer) shall endorse the APB prior to the milestone decision meeting for all ACAT programs.

1.2.2 OPNAV Points of Contact (POCs)

In addition to the program and resource sponsors, the following N-codes are POCs for the APB reviews visually depicted in enclosure (7), appendix II, Acquisition Program Baseline (APB) OPNAV Processing Procedure graphic: CNO (N43, N6E, N801X, N810, N912).

ACQUISITION PROGRAM BASELINE FORMAT

CLASSIFICATION

ACQUISITION PROGRAM BASELINE
PROGRAM XXX

With the objective of enhancing program stability and controlling cost growth, we, the undersigned, approve (unless otherwise indicated) this baseline document. Our intent is that the program be managed within the programmatic, schedule, and financial constraints identified. We agree to support, within the charter and authority of our respective official positions, the required funding in the Planning, Programming, and Budgeting System (PPBS).

This baseline document is a summary and does not provide detailed program requirements or content. It does, however, contain key performance, schedule, and cost parameters that are the basis for satisfying an identified mission need. As long as the program is being managed within the framework established by this baseline, in-phase reviews will not be held.

Program Manager (All ACAT programs)	Date	CNO (Resource Sponsor)/ CMC (CG, MCCDC) Endorsement (All ACAT programs)	Date

Program Executive Officer/SYSCOM/DRPM (All ACAT programs) Date

DON Acquisition Executive (ACAT I & II programs) Date

Under Secretary of Defense for Acquisition and Technology (ACAT ID programs) Date

Derived from:
Declassify on:

CLASSIFICATION

ACQUISITION PROGRAM BASELINE (APB) DEVIATIONS

1.3 Procedures

1.3.1 Program Deviation Criteria

APB deviation criteria for ACATs II, III and IV programs are the same as for ACAT I programs as stated in reference (a), paragraph 3.2.1, i.e., unless otherwise specified, the threshold value for performance shall be the same as the objective value; the threshold value for schedule shall be the objective value plus 6 months for ACAT II, III, and IV weapons system programs; and the threshold value for cost shall be the objective value plus 10 percent.

1.3.2 Program Deviation Notification

Whenever the PM has determined that an APB breach has occurred or will occur, the PM shall immediately notify the milestone decision authority (MDA) through the chain of command. Within 30 days of the occurrence of an APB deviation for an ACAT program, the PM shall notify the MDA of the reason for the deviation and the actions that need to be taken to bring the program back within APB parameters (if this information was not included with the original APB deviation notification). See reference (a), paragraph 6.2.1.1, for further guidance.

1.3.3 Revised Baseline Approval

If a program cannot be brought back within the current APB, the PM shall prepare a revised draft APB, and obtain CNO (resource sponsor)/CMC (CG, MCCDC) endorsement prior to forwarding the revised draft APB to the Program Executive Officer (PEO)/SYSCOM/DRPM. CNO (resource sponsor)/CMC (CG, MCCDC) shall endorse an APB deviation notification (above the PEO/SYSCOM/DRPM signature line) such as, or similar to, the format shown in the Deskbook (DON Section).

1. For Navy ACAT I and II programs:

a. Resource sponsor shall review the APB deviation notification (via Ship Characteristics Improvement Program (SCIP)/Air Characteristics Improvement Program (ACIP)), if appropriate) and commit to continued funding, if appropriate, by signing an OPNAV coordination sheet for the APB deviation notification. CNO (N80 and N81) shall review the APB deviation notification and obtain CNO (N8) endorsement on it.

b. After CNO (N8) APB deviation notification endorsement, the resource sponsor shall endorse the revised draft

APB.

c. See reference (a), paragraph 6.2.1.1, for further guidance for ACAT I programs.

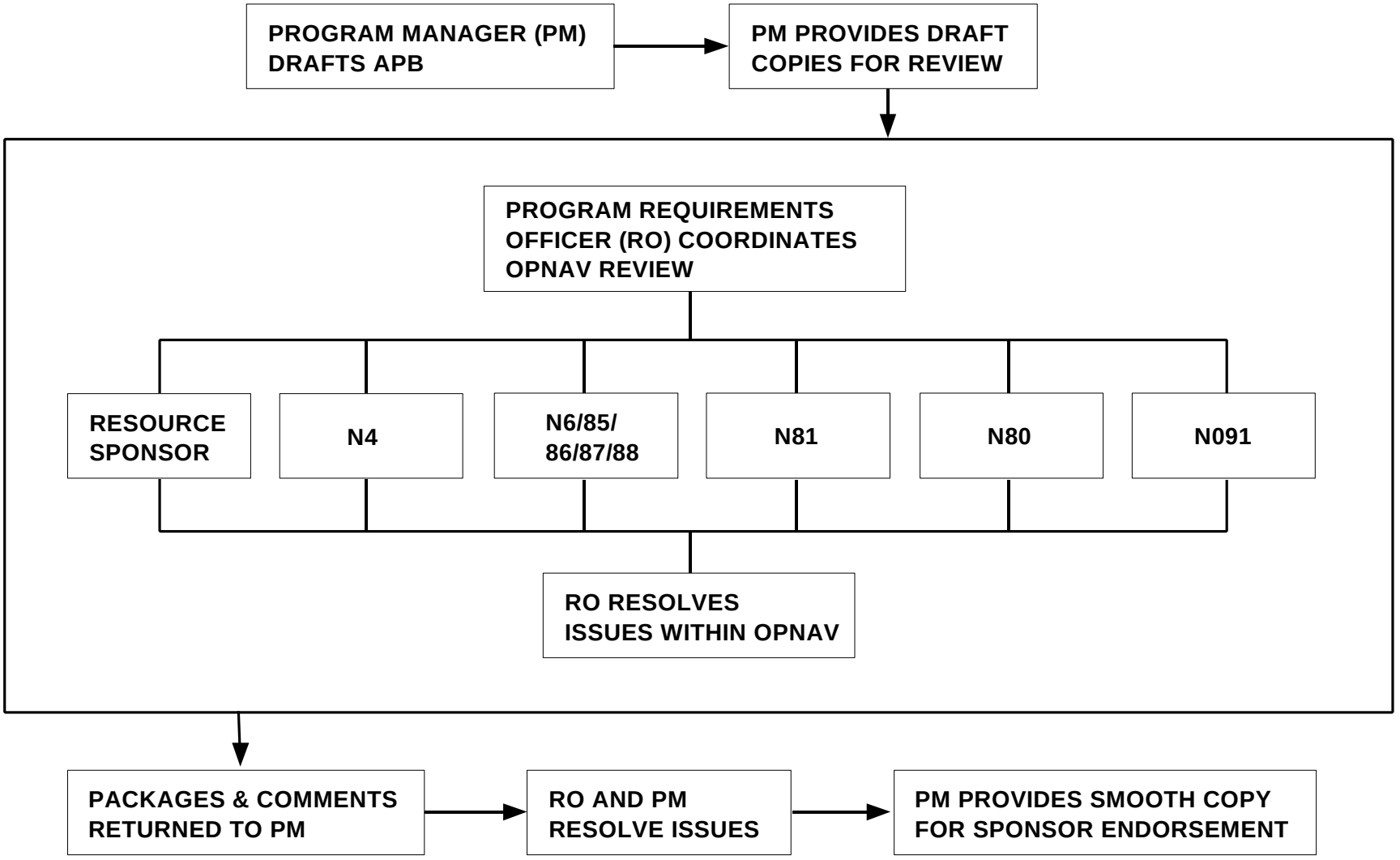
2. For Navy ACAT III and IV programs:

a. The resource sponsor shall review the APB deviation notification and the revised draft APB (via SCIP/ACIP, if appropriate), and commit to continued funding by signing the endorsement lines of the APB deviation notification and the revised draft APB.

CNO (resource sponsor)/CMC (CG, MCCDC) endorsement of the APB deviation notification and the revised APB shall be expeditiously forwarded to the MDA, the approval authority, via the appropriate chain of command.

Approved APB deviation notifications and APBs shall be maintained with the acquisition decision memorandum (ADM). The funding associated with the revised APB shall be considered the new program funding. The revised draft APB shall be approved prior to obligating funds.

ACQUISITION PROGRAM BASELINE (APB) OPNAV PROCESSING PROCEDURES



ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 5 - JROC Interface

1.1 Background

The JROC shall review all Navy and Marine Corps ACAT I programs as discussed below (all days listed are calendar days).

1.2 Navy Procedures

A Pre-JROC brief shall precede every JROC review scheduled by the Navy. In preparation for briefing the JROC, the procedures below shall be followed:

1. The VCNO shall request all scheduling of JROC briefs. In preparation for the briefing, the program sponsor shall request the review via CNO (N81).

2. CNO (N810) shall coordinate the scheduling of the program brief with the JROC secretariat and notify the sponsor of the date assigned.

3. Twenty days before the Pre-JROC brief, the program sponsor's action officer (AO) shall pre-brief CNO (N81). If there are any contentious issues in the program, VCNO/CNO (N8) may require presentation and/or a talking paper to formalize a Navy position before the Pre-JROC brief.

4. Thirteen days before the scheduled JROC, the Sponsor's AO shall present a Pre-JROC briefing, chaired by Joint Chiefs of Staff (JCS) J-8. The Navy point of contact (NPOC) shall attend and assist the briefer.

5. When directed, the sponsor shall present two internal Navy pre-briefs for VCNO (and CNO (N3/5, N8, N81) on a case-by-case basis) between pre-JROC and JROC meetings: a detailed strategy brief at least 1 week in advance and a presentation brief the day before JROC meets. The purpose of the "week before" brief is to ensure that VCNO concurs with the presentation strategy and major decisions; the "day before" brief focuses on outstanding issues. Before these pre-briefs, the sponsor shall prepare a talking paper to outline the program and major issues and to recommend a Navy position.

6. JROC briefings scheduled for JROC by other Services shall be staffed internally within the Navy and briefed to the VCNO (and CNO (N8, N81) on a case-by-case basis) prior to the scheduled JROC brief.

1.3 Navy Responsibilities and Points of Contact

1. Primary JROC coordination responsibility within OPNAV resides with CNO (N8).

a. All JROC issues being staffed for the VCNO will be submitted through CNO (N8).

b. CNO (N810) serves as the NPOC to the JROC Secretariat and is the single coordination point of contact within the OPNAV staff for JROC matters.

2. CNO (N3/5) shall support the JROC secretariat as requested by the NPOC.

3. OPNAV program sponsors shall appoint a subject matter expert (SME), normally the requirements officer (RO), to assist CNO (N810) in staffing joint issues.

1.4 Marine Corps Procedures

A pre-JROC brief shall precede every JROC review scheduled by the Marine Corps. In preparation for briefing the JROC, the procedures below shall be followed:

1. No later than 60 days before the desired review date, the sponsoring agency/office of the program requiring JROC review will request the JROC review via the Deputy Chief of Staff for Programs and Resources (D/CS(P&R)).

2. D/CS(P&R) shall coordinate the scheduling of the JROC brief with the JROC Secretariat (and OPNAV, when appropriate) and notify the sponsoring agency/office of the date assigned.

3. The sponsoring agency presents a pre-brief to D/CS(P&R) 21 days before the scheduled JROC.

4. Normally, 14 days before the JROC presentation, the sponsoring agency/office shall present the pre-JROC briefing to JCS(J-8). Three days before the pre-JROC, the briefer shall deliver copies of the brief to JCS (J-8) and discuss the brief with the USMC JROC point of contact, D/CS(P&R).

5. The sponsoring agency/office shall be prepared to present the JROC brief to the Assistant Commandant of the Marine Corps (ACMC) Committee after the Pre-JROC brief and no later than 7 days before the JROC presentation. USMC positions, decisions or strategies shall be determined at the ACMC Committee brief.

6. Once briefed to the ACMC Committee, any changes to the JROC brief shall be approved by ACMC before JROC presentation. Copies of the JROC brief shall be delivered to JCS (J-8) no later than 48 hours before the JROC brief.

7. On the day before the JROC brief, a final ACMC pre-brief shall occur. All required information and formats are available from the USMC POC.

8. JROC briefings scheduled by other Services or Agencies are also staffed internally within the Marine Corps and are pre-briefed to ACMC and others, as appropriate. These pre-briefs shall be conducted by CMC/MCCDC/ MARCORSYSCOM SMEs on the day before the JROC. D/CS(P&R) shall coordinate the designation of SMEs and provide briefing material formats.

1.5 USMC Responsibilities and Points of Contacts

1. Primary JROC coordination responsibility with CMC/MCCDC/MARCORSYSCOM resides in D/CS(P&R).

a. All JROC issues to be staffed for the ACMC shall be submitted in accordance with the JROC charter through D/CS(P&R).

b. CMC (RPA-1) serves as USMC point of contact to the JROC Secretariat and is the single POC for JROC matters.

2. Sponsoring agencies/offices and other CMC/MCCDC/ MARCORSYSCOM offices shall designate SMEs to assist RPA-1 in staffing JROC issues as required. When directed, these agencies/offices will provide assistance to D/CS, P&R in preparing ACMC for participation in other JROC matters.

ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 6 - NON-ACQUISITION PROGRAM PROCEDURES

1.1 Management of Non-Acquisition Programs

Non-acquisition programs shall be managed as follows:

1. All non-acquisition programs will be assessed annually by CNO (N091)/CMC(MARCORSYSCOM), as supported by the Science and Technology Requirements Committee (STRC) and/or by the Science and Technology Working Group (STWG). This review verifies that programs are progressing as directed and/or identifies the need for non-acquisition program definition document (NAPDD) revision or cancellation. Reviews shall be conducted annually with results made available for subsequent program objective memorandum (POM) development. STRC/STWG membership is provided at the end of this section.

2. Technology base programs, basic research (6.1) and applied research (6.2), do not require preparation of NAPDDs, but shall continue using current documentation required to support the Planning, Programming and Budgeting System (PPBS).

3. A NAPDD shall be used to initiate and manage non-acquisition programs (6.3 - 6.7) such as those described in this instruction, enclosure (1), paragraph 1.8, costing more than $200 thousand in any 1 year or more than $1 million over the life of the effort (then-year dollars). All NAPDDs shall be submitted by CNO/CMC (resource sponsor/MARCORSYSCOM), endorsed by CNO (N8)/ CMC (CG, MCCDC), and approved by CNO (N091)/CMC (MARCORSYSCOM). This CNO/CMC approval constitutes commitment to the effort.

4. Requests to initiate a non-acquisition program (6.3 - 6.7) shall be submitted to a CNO/CMC resource sponsor by PEOs, SYSCOMs, DRPMs, or any other appropriate DON activity. Marine Corps requests to initiate a non-acquisition program shall be submitted to MARCORSYSCOM (AWT). Detailed NAPDD submission format is contained in this section, after paragraph 1.2, and is titled "Non-Acquisition Program Definition Document (NAPDD)(FORMAT)". A NAPDD can be issued at any time; however, if a new start non-acquisition program (6.3 - 6.7) is to be included in the POM submission, the initiation guidance from CNO/CMC, or designee, shall be issued by the beginning of the fiscal year of the POM submission. NAPDDs for new start non-acquisition programs (6.3 - 6.7)

shall be issued in time for a summer CNO (N091)/STRC/STWG assessment. Non-acquisition programs which do not meet this schedule could require funding by reprogramming.

5. Deliverables from non-acquisition programs that transition into a related ACAT program shall be identified in an analysis of alternatives, an operational requirements document (ORD), and an acquisition program baseline (APB) for that ACAT program.

6. NAPDDs shall normally expire 3 years after approval. After 3 years, a revised or revalidated NAPDD is required to continue the program. The revised NAPDD shall include justification for continuance beyond the initial 3-year validity period. The NAPDD shall contain estimated resources required to complete the effort and the deliverables that are required.

1.2 <u>Responsibilities and Points of Contact</u>

The Marine Corps point of contact for non-acquisition programs and NAPDDs is MARCORSYSCOM (AWT).

Specific OPNAV NAPDD submission responsibilities include the following:

1. Originating command shall:

a. Submit request or rough draft of proposed NAPDD to the applicable program sponsor.

2. Program sponsor shall:

a. Ensure NAPDD is in proper format.

b. Route draft copies to the resource sponsor (when different), the applicable PEO/SYSCOM/DRPM (if not the originator), CNO (N8) via CNO (N81), and CNO (N091) for review and comment.

c. Consolidate and incorporate all comments received from the review, signs as the document preparer, and forwards to CNO (N8) via CNO (N81).

3. CNO (N8) shall:

a. Endorse and forward to CNO (N091).

4. CNO (N091) shall:

a. Review, assign a NAPDD number, and sign as final approval authority.

b. Establish STRC/STWG which shall conduct yearly assessments of non-acquisition programs (6.1 - 6.7) and NAPDDs, as applicable, to verify that the programs are progressing as directed and whether redirection or cancellation is required. Membership is shown at the end of this section.

c. Forward approved NAPDD to the cognizant PEO/SYSCOM/DRPM. A copy shall be provided to ASN(RD&A) for information.

d. Maintain a database of all active NAPDDs and publish annually a consolidated list of current NAPDDs and their expiration dates. A copy of the consolidated list shall be provided to ASN(RD&A).

NON-ACQUISITION PROGRAM DEFINITION DOCUMENT (NAPDD) (FORMAT)

FOR

[GENERIC NAME]

[Limit length to a maximum of 3 pages]

1. Purpose/Intent of Effort. Include necessary background information to discuss shortcomings of existing technologies/equipments. Describe previously examined systems or concepts, including an assessment of international technology, relevant to the program under consideration. Briefly discuss the mission area/application in which the results of the non-acquisition program might be employed and the anticipated degree of enhancement.

2. Scope of Effort. Describe the nature and scope of the envisioned effort (e.g., advanced technology demonstrations of existing technologies/systems, refinement of emerging advanced technologies or advanced technologies, development of theoretical concepts, or concept evaluations (e.g., nondevelopmental items)).

3. Resource Summary. Provide planned research, development, test and evaluation, Navy (RDT&E,N)/Marine Corps (RDT&E,MC) funding profile by year for each of the authorized years. While 3 years is normally the maximum period for a NAPDD, provide total out-year funding by fiscal year if additional effort is anticipated.

4. Deliverables. Describe the deliverables that are to be produced pursuant to authorized expenditure of funds (e.g., hardware or software demonstrations, concept evaluations, models, designs, reports, reviews, concept exploration and definition documentation, etc.). Specify delivery dates for each item by fiscal year and quarter.

5. Program Reviews. Require the submission of a plan of action and milestones (POA&M) which describes the strategy for execution and completion of the effort. Provide an anticipated schedule for the submission of the POA&M and a schedule for NAPDD reviews.

6. Transition. Outline the plan for transition to an ACAT program. Identify resources, program sponsor, program element, and project to which an advanced technology demonstration (ATD) would transition.

NON-ACQUISITION PROGRAM DEFINITION DOCUMENT (NAPDD)

FOR

[GENERIC NAME]

[NAPDD #_____ASSIGNED BY CNO (N091)/MARCORSYSCOM, UPON APPROVAL]

PE _____ Program _____

SUBMITTED:

_____ _____
CNO (resource sponsor)/MARCORSYSCOM Date
Typed Name

ENDORSED:

_____ _____
CNO (N8)/CG, MCCDC Date
Typed Name

APPROVED:

_____ _____
CNO (N091)/MARCORSYSCOM Date
Typed Name

Distribution:
Cognizant PEO/SYSCOM/DRPM

Copy to:
ASN(RD&A)

SCIENCE AND TECHNOLOGY REQUIREMENTS COMMITTEE (STRC)/ SCIENCE AND TECHNOLOGY WORKING GROUP (STWG) MEMBERSHIP

STRC MEMBERS:

CNO (N091) (CHAIR)

CNO (N911) (EXEC SECY)

CNO (N1, N2, N3/N5, N4, N6, N7, N80, N81, N83, N85, N86, N87, N88, N093, N096)

CMC (DC/C(I&L))

CMC (DC/S(P&R))

CNR

ASN(RD&A)

STWG MEMBERS:

CNO (N091) (CHAIR)

CNO (N911) (EXEC SECY)

CNO (N00K, N1, N2, N3/N5, N4, N6, N75, N8, N80, N81, N83, N85, N86, N87, N88, N093, N096)

CMC (DC/S(I&L))

COMNAVAIRSYSCOM

COMNAVSEASYSCOM

COMNAVSUPSYSCOM

COMSPAWARSYSCOM

PEO/DRPM (as appropriate)

CNR (TECHNOLOGY DIRECTORATE)

MARCORSYSCOM (AWT)

DARPA

ASN(RD&A)

ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 7 - ACAT DESIGNATION REQUEST (CONTENT)
or
ACAT DESIGNATION CHANGE REQUEST (CONTENT)

The memorandum requesting an acquisition category (ACAT) designation or requesting a change in ACAT designation shall be sent to ASN(RD&A) for ACAT ID, IC, and II programs via PEO/SYSCOM/DRPM, or to PEO/SYSCOM/DRPM for weapon system ACAT III and ACAT IV programs, and shall contain the following information:

1. Acquisition program short and long title.

2. Prospective claimant/SYSCOM/PEO/DRPM/PM.

3. Prospective funding: (where known)

   a. Appropriation (APPN): [repeat for each appropriation]

      (1) [Repeat for each program element (PE)/Line Item (LI)/Sub-project (Sub)]

      - Program Element (No./Title):
      - Project Number/Line Item (No./Title):
      - Sub-project/Line Item (No./Title):
      - Budget: [FY-1996 constant dollars in millions]

Current FY	Budget FY	FY	FY	FY	FY	FY	FY	To Complete	Total

4. Program description. (Provide a brief description of the program, including its mission)

5. List Mission Need Statement, Operational Requirements Document, and respective approval dates.

6. Milestone status. (list completed milestones and dates; list scheduled milestones and dates)

7. Recommended ACAT assignment, or change, and rationale.

Copy to: ASN(RD&A) [ACAT III and IV programs]
DASN(RD&A) [cognizant DASN for all ACAT programs]
CNO (N8/N091) [All Navy ACAT programs]

CMC (MCCDC) [All Marine Corps ACAT programs]
COMOPTEVFOR [All Navy ACAT programs]
Dir, MCOTEA [All Marine Corps ACAT programs]

ANNEX B, INFORMATION TECHNOLOGY (IT) PROGRAMS
SECTION 1 - MISSION NEED STATEMENT (MNS)

References: (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Program," 15 Mar 96 (NOTAL)
(c) DoD Directive 8000.1, "Defense Information Management (IM) Program," 27 Oct 92 (NOTAL)
(d) SECNAVINST 5420.188D, "Program Decision Process," 31 Oct 95 (NOTAL)

1.1 Procedures

1.1.1 Preparation, Review, and Submission

The appropriate IT functional area point of contact (POC) shall ensure preparation of the MNS, initially identifying the mission deficiency, the authority for the MNS establishment, and the current organizational and operational environment, in accordance with reference (a); reference (b), paragraph 2.3; and reference (c). The MNS shall be coordinated with the resource sponsor. The MNS shall be validated/approved by the user or user's representative. The IT functional area POC shall submit the MNS to the MDA, through CNO/CMC (CG, MCCDC), or designee, or through other appropriate Department of the Navy chain of command, as part of the mandatory milestone information for the initial milestone. For C4I IT systems, the MNS shall be processed in accordance enclosure (7), appendix II, annex B, section 1, and annex A, section 1. The MNS for non-C4I IT systems shall be processed in accordance with enclosure (7), appendix II, annex B, section 1.

1.2 Responsibilities

1. The IT functional area POC is responsible for ensuring that, from a functional business perspective, a proper description of the mission deficiency and justification for exploring alternative solutions is provided. This shall be done at the time of development, prior to the initial milestone decision, and shall be repeated at each subsequent milestone. The MNS shall be prioritized against other automation efforts in the functional area. The IT functional area POC shall establish joint potential and confirm that the requirements defined in reference (c) have been met. See the DoD Deskbook (DON Section) for

discretionary information.

2. The MNS for C4I IT systems shall be processed by the resource sponsor in accordance with enclosure (7), appendix II, annex B, section 1, and annex A, section 1. The MNS for non-C4I IT systems shall be processed by the resource sponsor in accordance with enclosure (7), appendix II, annex B, section 1. The resource sponsor shall review the MNS prior to the initial milestone and at each subsequent milestone.

3. The PM shall:

a. Coordinate with ASN(RD&A) or designee to determine acquisition category (ACAT) in accordance with enclosure (1), paragraph 1.3.7, and enclosure (7), appendix II, annex B, section 6.

b. Develop a briefing, as appropriate, for the Navy Program Decision Meeting as described in reference (d).

ANNEX B, INFORMATION TECHNOLOGY (IT) PROGRAMS
SECTION 2 - ANALYSIS OF ALTERNATIVES

References: (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)

1.1 Procedures

1.1.1 Preparation, Review, and Submission

The IT functional area point of contact (POC) shall be responsible for the preparation of the analysis of alternatives. The analysis of alternatives may be performed by an independent activity. The analysis of alternatives shall be submitted at the program initiation milestone. The analysis of alternatives shall be tailored commensurate with the scope, criticality, size and complexity of the program. See reference (a); reference (b), paragraph 2.4; and the DoD Deskbook (DON Section) for additional information.

1.2 Responsibilities

1. The IT functional area POC shall:

a. Develop the analysis of alternatives which identifies, describes, compares, and evaluates the alternative technical and acquisition solutions (including the status quo) considered to meet the IT mission need as documented in the MNS.

b. Ensure that the analysis of alternatives presents the alternatives considered (all potential options), the costs for each alternative, any conversion considerations, and a strategy for avoiding obsolescence.

2. The MDA shall review the analysis of alternatives as part of the mandatory milestone information provided at the program initiation milestone.

3. ASN(RD&A) or designee and the resource sponsor shall approve the analysis of alternatives final report, if required, for IT ACAT IA programs. The MDA and the resource sponsor shall approve the analysis of alternatives final report, if required, for IT ACAT III and IVT programs.

ANNEX B, INFORMATION TECHNOLOGY (IT) PROGRAMS SECTION 3 - OPERATIONAL REQUIREMENTS DOCUMENT

References: (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(c) SECNAVINST 5420.188D, "Program Decision Process," 31 Oct 95 (NOTAL)

1.1 Procedures

Reference (a) and reference (b), paragraph 2.3, shall be used to develop operational requirements documents (ORDs) for information technology (IT) programs. Reference (b) provides the mandatory format for the ORD. The operational performance parameters in the ORD, prepared for the program initiation milestone, shall be tailored and reflect system level performance capabilities. For C4I IT systems, the ORD shall be processed in accordance with enclosure (7), appendix II, annex B, section 3, and annex A, section 3. The ORD for non-C4I IT systems shall be processed in accordance with enclosure (7), appendix II, annex B, section 3.

1.1.1 Preparation, Review, and Submission

The functional area point of contact (POC) shall submit the ORD. The resource sponsor shall endorse the ORD. The ORD shall be validated/approved by the user or user’s representative. ORD requirements shall flow from and be established subsequent to the analysis of alternatives.

1.2 Responsibilities

1. The IT functional area POC shall:

a. Submit the ORD in coordination with the resource sponsor.

b. Ensure that the performance parameters, specified in terms of thresholds and objectives, satisfy the mission need.

c. Ensure that key performance parameters in the ORD are identified in such a way that they may be extracted and included in the acquisition program baseline.

2. The ORD for C4I IT systems shall be processed by the

resource sponsor in accordance with enclosure (7), appendix II, annex B, section 3, and annex A, section 3. The ORD for non-C4I IT systems shall be processed by the resource sponsor in accordance with enclosure (7), appendix II, annex B, section 3.

3. The resource sponsor shall:

a. Coordinate with the IT functional area POC in developing the ORD.

b. Endorse the ORD, certifying the intent to fund the program.

4. The user or user's representative shall validate and approve the ORD.

5. The PM shall:

a. Coordinate with ASN(RD&A) or designee to determine acquisition category (ACAT) in accordance with enclosure (1), paragraph 1.3.7, and enclosure (7), appendix II, annex B, section 6.

b. Develop a briefing, as appropriate, for the Navy Program Decision Meeting as described in reference (c).

6. The Milestone Decision Authority shall review the ORD as part of the mandatory information submitted at milestones.

OPERATIONAL REQUIREMENTS DOCUMENT

(For Endorsement and Approval) FOR

[insert program long title]

(POTENTIAL ACAT ___)

SUBMITTED BY:

_____ _____

(Functional Area POC) (DATE)

ENDORSED BY:

_____ _____

(Resource Sponsor) (DATE)

VALIDATED/APPROVED BY:

_____ _____

(User or User's Representative) (DATE)

Copy to:
Milestone Decision Authority

ANNEX B, INFORMATION TECHNOLOGY (IT) PROGRAMS
SECTION 4 - ACQUISITION PROGRAM BASELINES (APBs)/ APB DEVIATIONS

References: (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(c) DoD Directive 8000.1, "Defense Information Management (IM) Program," 27 Oct 92 (NOTAL)

1.1 Procedures

1.1.1 Preparation, Review and Submission

The acquisition program baseline (APB) shall be prepared by the program manager (PM) in coordination with the user or user's representative prior to the program initiation milestone, endorsed by the resource sponsor, CG, MCCDC (for Marine Corps IT programs), and the IT functional area point of contact (POC), and shall be reassessed continuously throughout the life of the program, to include specific updates at subsequent milestones. See reference (a) and reference (b), paragraph 3.2.2, for additional implementation requirements for all Department of the Navy (DON) IT programs.

1.1.2 Approval

The APB shall be submitted to the milestone decision authority (MDA) for approval as part of mandatory milestone information provided at program milestone decision meetings.

1.1.3 Deviation Criteria and Reporting

APB thresholds, objectives, and deviation criteria for all DON IT programs shall be implemented as addressed in reference (b), paragraphs 2.3 and 3.2.1.

Deviation reporting and baseline revisions shall be done in accordance with enclosure (6), paragraph 6.2.1.1.

1.2 Responsibilities

1. The PM shall maintain the APB through production/ deployment.

2. The IT functional area POC/user's representative

shall:

a. Ensure key performance parameters from the Operational Requirements Document are extracted and included in the APB.

b. Ensure consistency with principal staff assistants functional planning and target architecture and with the requirements of reference (c).

c. Review and endorse the APB.

3. The resource sponsor and CG, MCCDC (for Marine Corps IT programs) shall:

a. Endorse the APB.

b. Review and endorse APB revisions.

4. The MDA shall approve the APB and APB revisions.

ACQUISITION PROGRAM BASELINE FORMAT

CLASSIFICATION

ACQUISITION PROGRAM BASELINE
PROGRAM XXX

With the objective of enhancing program stability and controlling cost growth, we, the undersigned, approve (unless otherwise indicated) this baseline document. Our intent is that the program be managed within the programmatic, schedule, and financial constraints identified. We agree to support, within the charter and authority of our respective official positions, the required funding in the Planning, Programming, and Budgeting System (PPBS).

This baseline document is a summary and does not provide detailed program requirements or content. It does, however, contain key performance, schedule, and cost parameters that are the basis for satisfying an identified mission need. As long as the program is being managed within the framework established by this baseline, in-phase reviews will not be held.

Program Manager (All IT ACAT programs)	Date	IT Functional Area POC Endorsement (All IT ACAT programs)	Date

Resource Sponsor Endorsement (All IT ACAT programs) — Date

CMC (CG, MCCDC) Endorsement (All Marine Corps IT ACAT programs) — Date

Milestone Decision Authority (IT ACAT IAC, III, and IVT programs) — Date

ASN(RD&A), or designee (IT ACAT IAM programs) — Date

Assistant Secretary of Defense (Command, Control, Communications, and Intelligence) — Date

(ACAT IAM programs)

Derived from:
Declassify on:

CLASSIFICATION

ANNEX B, INFORMATION TECHNOLOGY (IT) PROGRAMS SECTION 5 - JROC INTERFACE

1.1 Procedures

IT programs to be presented to the JROC, shall use the procedures contained in enclosure (7), appendix II, annex A, section 5.

ANNEX B, INFORMATION TECHNOLOGY (IT) PROGRAMS
SECTION 6 - ACAT DESIGNATION REQUEST (CONTENT)

1.1 Procedures

1.1.1 Preparation, Review and Submission

Acquisition category (ACAT) designation requests for potential IT ACAT IA programs shall be submitted to the ASN(RD&A) or designee with a copy to Commander, Operational Test and Evaluation Force (COMOPTEVFOR)/Director, Marine Corps Operational Test and Evaluation Activity (MCOTEA). ACAT designation requests for potential IT ACAT III and IVT programs shall be submitted to ASN(RD&A) or designee, Program Executive Officers (PEOs), Systems Command (SYSCOM) Commanders, or Direct Reporting Program Managers (DRPMs) with a copy to COMOPTEVFOR/Director, MCOTEA. The request shall provide the following information:

1. Title of program,
2. Program manager, IT functional area, and resource sponsor points of contact (POCs),
3. Projected costs and funding sources, and relationship to the IT budget,
4. Program description,
5. Relationship to Department of Defense Corporate Information Management initiatives, the DON IT Strategic Plan, and migration and legacy systems,
6. Potential for savings and return on investment,
7. Anticipated use of both developmental and non-developmental IT,
8. Operational test and evaluation requirements,
9. Performance measurements to be used to measure how well the proposed IT program supports agency programs, and
10. Recommended ACAT assignment and milestone decision authority (MDA).

1.1.2 Approval

ASN(RD&A) or designee, PEOs, SYSCOM Commanders, or DRPMs shall assess a recommendation and determine ACAT designation and MDA for IT ACAT III and IVT programs. Potential IT ACAT IA programs shall be forwarded to ASN(RD&A) or designee for further action.

1.2 Responsibilities

1. The potential program manager (PM), or responsible acquisition official, shall initiate the request, coordinate with the IT functional area POC, and provide a copy to COMOPTEVFOR/Director, MCOTEA.

2. The IT functional area POC shall endorse the request.

3. ASN(RD&A) or designee, PEOs, SYSCOM Commanders, or DRPMs shall coordinate with OPTEVFOR/MCOTEA, and designate IT ACAT III and IVT programs. A copy of PEO/SYSCOM Commander/DRPM approved ACAT designations for IT ACAT III and IVT programs shall be forwarded to ASN(RD&A) or designee.

4. ASN(RD&A) or designee shall forward potential ACAT IA designations to ASD(C3I) for designation as ACAT IAM or IAC.

ANNEX B, INFORMATION TECHNOLOGY (IT) PROGRAMS
SECTION 7 - IT FUNCTIONAL AREA POINTS OF CONTACT

The IT functional area points of contact (POCs) are listed by cognizant functional areas. For ACAT IA programs, the responsible IT functional area POCs are at the CNO/CMC, the DON, and the Office of the Secretary of Defense (OSD) principal staff assistant (PSA) levels. For IT ACAT III and IV programs, the responsible IT functional area POC is at the CNO/CMC level, unless none is designated for that functional area, then it is the DON POC.

Logistics

OSD:
   DUSD(L)
DON:
   ASN(RD&A)
   POC: Special Asst for Logistics
      Action delegated to:
      CNO: N4
      CMC: DC/S I&L
CNO:
   N4
   POC: N432
CMC:
   DC/S I&L

Material Management

OSD:
   DUSD(L)/ADUSD(LBS&TD)
DON:
   ASN(RD&A)
   POC: Special Asst for Logistics
      Action delegated to:
      CNO: N4
      CMC: DC/S I&L
   CNO:
      N41
      POC: N413
CMC:
   DC/S I&L, Dir., Plans, Policy, Strat Mob Division

Depot Maintenance (DM)

OSD:
   Primary: DUSD(L)/ADUSD(Maintenance Policy)

Alt: Joint Logistics Systems Center,
POC: Director for Depot Maintenance

DON:
ASN(RD&A)
POC: Special Asst for Logistics
Action delegated to:
CNO: N4 and N8 (for aviation depot maintenance)
CMC: DC/S I&L
CNO:
Primary: N43
Secondary: N881
POC: N432
CMC:
DC/S I&L, Dir., Plans, Policy, Strat Mob Division

Organizational Maintenance

Areas covered: Shipboard and squadron-level maintenance, as well as operations conducted at deployed intermediate maintenance facilities.

OSD:
DUSD(L)/ADUSD(Maintenance Policy)
DON:
ASN(RD&A)
POC: Special Asst for Logistics
Action delegated to:
CNO: N4 (surface maintenance) and N881 (for aviation maintenance)
CMC: DC/S I&L
CNO:
Primary: N43
Secondary: N881
POC: N431F
CMC:
DC/S I&L, Dir., Plans, Policy, Strat Mob Division

Distribution

Areas: Distribution Systems, including Warehousing, Receiving, Storing, Packaging, Issuing, and Salvage.

OSD:
DUSD(L)/ADUSD(LBS&TD)
Joint Logistics Systems Center (JLSC/RMP)
DON:
ASN(RD&A)
POC: Special Asst for Logistics
Action delegated to:

CNO: N4
CMC: DC/S I&L

CNO:
N41
POC: N413

CMC:
DC/S I&L, Dir., Plans, Policy, Strat Mob Division
POC: LPS-1, I&L, HQMC

Transportation

Areas: Planning and operations concerned with movement of people and things through or over the sea, air, and land. Involves monitoring of assets used for operations (such as ships and cranes), as well as the information systems that support scheduling and billing.

OSD:
DUSD(L)/ADUSD(LBS&TD)
JCS:
US Transportation Command
POC: Director, Global Transportation Network Program Management Office
DON:
ASN(RD&A)
POC: Special Asst for Logistics
Action delegated to:
CNO: N4
CMC: DC/S I&L
CNO:
N4
POC: N423D
Alt: N41, N413T
N42 (Sealift only), N421
CMC:
DC/S I&L, Dir. Facilities and Services Division

JCALS/JEDMICS

OSD:
DUSD(L)/Director, CALS & EDI
DON:
ASN(RD&A) with delegation to:
CNO: N4
CMC: DC/S I&L
CNO:
N43
POC: N432
JEDMICS PMO: NAVSUP
JCALS/EC/EDI PMO:
POC:
JCALS:
EC/EDI:
CMC:
DC/S I&L, Dir., Plans, Policy, Strat Mob Division
POC: LPS

Environmental Security

Areas: Cleanup, Compliance, Conservation, Pollution Prevention, ES technology, Safety, Occupational Health, Fire Training, Pest Management, Explosive Safety, and Installations.

OSD:
DUSD(Environmental Security)
DON:
ASN(I&E)
POC: Executive Assistant

Safety

DON:
DASN(E&S)

Operational (including Aviation, Explosives, Afloat, & Systems Safety):

CNO:
N09F
CMC:
Safety Division

Occupational/OSH:

CNO:
N45
CMC:
Safety Division

Shore programs (including Motor vehicle, Off-duty/Recreation):

CNO:
N09F

Occupational Health

DON:
DASN(E&S)
CNO:
N45
CMC:
Safety Division

Environmental Compliance/Installation Restoration/Pollution Prevention

DON:
DASN(E&S)

CNO:
N45
CMC:
DC/S I&L, Dep Dir, Facilities and Services Div.

Natural Resource Conservation (including Endangered Species Protection, Wetlands Preservation, Forestry, Agricultural Outleasing, Outreach to Communities)

DON:
DASN(E&S)
CNO:
N45
CMC:
DC/S I&L, Dep Dir, Facilities and Services Div.

Environmental Planning (Historic Facility/Archeological Heritage Preservation and NEPA)

DON:
DASN(E&S)
CNO:
N44
CMC:
DC/S I&L, Dep Dir, Facilities and Services Div.

Cultural Resources

DON:
DASN(I&F)
CNO:
N44
CMC:
DC/S I&L, Dep Dir, Facilities and Services Div.

Economic Security

Areas: Installations (Military Construction, Family Housing/BQ, and Base Operations support), Industrial Base, Production Resources, Economic Adjustment, Base Closure and Realignment, Dual Use Technology, Manufacturing and International Programs (collaboration in weapons programs).

OSD:
ASD(Economic Security)
DON:
ASN(I&E)
CNO:

N46
POC: N46B

CMC:
DC/S I&L, Dir, Facilities and Services Div.

Facility Construction (Including all Facilities but Family Housing/BQ)

CNO:
N44
POC: N445
CMC:
DC/S I&L, Dep Dir, Facilities and Services Div.

Family Housing (Includes planning, construction, operation, maintenance, and disposal of family housing)

CNO:
N46
POC: N463
CMC:
DC/S I&L, Dep Dir, Facilities and Services Div.

Facility Planning

CNO:
N44
POC: N441
CMC:
DC/S I&L, Dep Dir, Facilities and Services Div.

Real Property Maintenance and Management (Includes major repair projects, minor construction, maintenance of BQs, energy conservation; excludes Family Housing)

CNO:
N44
POC: N442
CMC:
DC/S I&L, Dep Dir, Facilities and Services Div.

Base Closure

CNO:
N44
POC: N444
CMC:
DC/S I&L, Dep Dir, Facilities and Services Div.

Other Base Operating Support (Base administration, to include operation of BQs, real property services (utilities, leases, other engineering support), base security, fire protection, base transportation)

CNO:
N46
POC: N46B
CMC:
DC/S I&L, Dep Dir, Facilities and Services Div.

Other

CNO:
N46
POC: N46B
CMC:
DC/S I&L, Dep Dir, Facilities and Services Div.
POC: CMC(LF)

Procurement

Areas: Establishment of policy, procedures and support for contract pricing, procurement, contract management, procurement oversight and business integrity.
OSD:
Dir, Defense Procurement
DON:
OASN(RD&A), Deputy, Acquisition and Business Management,
POC: Procurement CIM Council rep
CNO:
Not applicable
CMC:
DC/S I&L
POC: Procurement CIM Council, LB

Science and Technology

Areas: Science & Technology management, policy & oversight; laboratory policy & oversight; management guidance and execution of Basic Research, Exploratory Development and Advanced Technology Development

OSD:
DDR&E,
DON:
OASN(RD&A), Chief of Naval Research

POC: ONR-03
CIM POC: ONR-92
CNO:
N091
POC: N911
CMC:
Marine Corps Systems Command
POC: AWT

Test and Evaluation

Areas: Developmental and Operational Test and Evaluation of systems to determine if design thresholds are met and if resources are sufficient to proceed with full scale production.

Developmental

OSD:
Director, T&E
DON:
ASN(RD&A)
CIM POC: N912
DASN(AIR)
DASN(SHIPS)
DASN(MUW)
DASN(C4I/EW/SPACE)
POC for C3:
POC for AIS:
For Software Executive Official matters:

Most action delegated to PEOs/DRPMs/SYSCOMs:
PEO(T)
PEO(A)
PEO(CU)
PEO(JSF)
PEO(USW)
PEO(SUB)
PEO(TAD)
PEO(MIW)
PEO(CLA)
PEO(SC)
PEO(SCS)
DRPM(SSP)
DRPM(AEGIS)
DRPM(AAA)
COMNAVAIRSYSCOM
COMNAVSEASYSCOM
COMNAVSUPSYSCOM

COMSPAWARSYSCOM
COMMARCORSYSCOM
CNO: Not applicable
CMC: Not applicable

Operational

OSD:
Director, Operational T&E
DON:
ASN(RD&A)
Most action delegated to:
CNO: N091
CMC: MCOTEA
CNO:
N091
POC: N912
CMC:
MCOTEA
POC: MCOTEA

System Acquisition Management

Areas: Development and/or procurement of systems satisfying requirements established by CNO/CMC; ensuring that operational requirements are transformed into executable research, development and acquisition programs.

OSD:
Director, API
DON:
OASN(RD&A), Deputy, Acquisition and Business Management
CNO: Not applicable
CMC: Not applicable

Finance

OSD:
OSD(C)
DON:
ASN(FM&C)

Finance/Budget

Areas: Accounting, Reporting, Disbursing, Budget Formulation, Budget Execution

OSD:
OSD(C)
DON:
ASN(FM&C)

Accounting POC:
Budgeting POC: NCBGS
CNO: Not applicable
CMC: Not applicable

Planning and Programming

Areas: Planning and Programming effort related to development of CNO's Program Objectives Memorandum; ship and aircraft inventories.

OSD:
Dir., Program Analysis and Evaluation
DON:
Dir., DON Program Information Center
POC: Deputy Director
CNO:
N80
Programming POC:
N804J
Modeling & Simulation POC: N812
CMC:
DC/S P&R

Civilian Personnel

Areas: Civilian Human Resources Management to include: Manpower, Staffing, Classification, Training, Employee Relations, Labor Relations, Compensation, Equal Employment Opportunity, and Information Systems

OSD:
USD(P&R)
DON:
ASN(M&RA)
DASN(CPP/EEO)
Dir, OCPM
CNO: Not applicable
CMC:
DC/S M&RA
POC: Dir MI, M&RA, HQMC

Military Personnel

Areas: Active Duty Manpower, Recruiting and Accession, Personnel Support, Military Personnel Functions, Total Force Management, Training

Manpower, Personnel, Recruiting

OSD:
USD(P&R)
POC: Principal Deputy
DON:
ASN(M&RA)
CNO:
N1
POC: N12
Alt: N120G
CMC:
DC/S M&RA
POC: Dir MI, M&RA, HQMC

Training

OSD:
USD(P&R)
POC: Principal Deputy
DON:
ASN(M&RA)
CNO:
N7/CNET
POC: Executive Assistant
CMC:
Marine Corps Combat Development Center
POC: T&E

Reserve Affairs

Area: Reserve Manpower and Personnel; Reserve Component elements of all other functional areas, including Pay, Material Management, Mobilization and Deployment, and so forth.

OSD:
ASD(Reserve Affairs)
POC: Principal Deputy
DON:
ASN(M&RA)
POC: Staff Dir. Res. Aff.
CNO:
N095
POC: Executive Assistant
N0952, Dir, Legislation & Info Mgt Div.
CMC:
DC/S M&RA

POC: Dir MI, M&RA, HQMC

Health

Areas: Theater Health, Health Care Delivery, Health Care Management, Medical Education, Medical Logistics, Blood

OSD:
ASD(Health Affairs)
DON:
ASN(M&RA)
CNO:
N093
POC: Executive Ass't
CMC:
N093M, Office of Health Services
POC: HS/MED

Inspector General

Areas: Audits, Investigations, Inspections (Inquiries)

Audits

OSD:
DODIG, Deputy Inspector General, DoD
POC: Assistant Inspector General for Audit Policy and Oversight
DON:
Auditor General of the Navy
POC: Acting Director, Plans and Policy Directorate, Naval Audit Service
CNO: Not applicable
CMC: Not applicable

Investigations

Criminal/Felonious:

OSD:
DODIG, Deputy Inspector General, DoD
POC: Assistant Inspector General for Criminal Investigative Policy and Oversight,
DON:
Naval Criminal Investigative Service
POC: Special Agent (Code 23B)
CNO: Not applicable
CMC: Not applicable

Administrative or Non-Felony-Criminal:

OSD:
DODIG, Deputy Inspector General, DOD
POC: Assistant Inspector General for Criminal Investigative Policy and Oversight,
DON:
Naval Inspector General
CNO:
Navy Inspector General
CMC:
Deputy Naval Inspector General for Marine Corps Matters/ Inspector General of the Marine Corps

Inspections

OSD:
DODIG, Deputy Inspector General, DoD
POC: Assistant Inspector General for Inspections, DODIG,
DON:
Naval Inspector General
CNO:
Navy Inspector General
CMC:
Deputy Naval Inspector General for Marine Corps Matters/ Inspector General of the Marine Corps

C3

Areas: Command, Control, Communications, and Computers (C4); C4I for the Warrior; Global Command and Control System (GCCS); Defense Information Infrastructure (DII)

Command & Control

OSD:
ASD(C3I)/DASD(C3)
DON:
ASD(C3I)/DASN(C4I/EW/SPACE)
CNO:
N6
POC: N65
CMC:
AC/S C4I
POC: Dir. Standards and Architecture Division

Communications

OSD:
ASD(C3I)/DASD(C3)

DON:
ASD(C3I)/DASN(C4I/EW/SPACE)
CNO:
N6
POC: N65
CMC:
AC/S C4I
POC: Dir. Standards and Architecture Division

Information Management/Infrastructure Management

Areas: Defense Information Infrastructure, Records Management, Directives Management, Information Management Policy, Information Technology (IT), Infrastructure Management, General Administrative

Defense Information Infrastructure

Area: Information technology products (multi-purpose hardware, software, communications) which form the backbone of IT resources within the DoD.

OSD:
ASD(C3I)/DASD(IM)
POC: Executive Assistant
DON:
ASN(RD&A)/DON CIO
CNO:
N6
N6B
POC: N65
CMC:
AC/S C4I

INFOSEC

Areas: COMSEC, COMPUSEC, Information Security, Acquisition System Protection, Physical Security

OSD:
ASD(C3I)/DASD(CI&SCM)
DON:
ASN(RD&A)/DASN(C4I/EW/SPACE)
DON CIO
CNO:
N6
N6B
POC: N65
CMC:

AC/S C4I

Other

OSD:
ASD(C3I)/DASD(IM)
POC: Executive Assistant
DON:
ASN(RD&A)/DASN(C4I/EW/SPACE)
POC: Principal Assistant for IRM/DON CIO
CNO:
N6
POC: N65
CMC:
AC/S C4I
POC: Dir. Standards and Architecture Division

Intelligence

Areas: Intelligence preparation of the battlefield, Indications and Warning, Imagery Dissemination, Bomb Damage Assessment (BDA); Mapping, Charting and Geodesy (MC&G)

OSD:
ASD(C3I)/DASD(I)
POC: Community Management Staff

For assistance with MC&G:

Defense Mapping Agency:
POC: DD/TI
Navy Liaison
DON:
ASN(RD&A))/DASN(C4I/EW/SPACE)
POC: Ass't for Intelligence

All but MC&G:

CNO:
N2
POC: N202F
Alt: ONI/ONI-712
CMC:
AC/S C4I
POC: Dir., Intel

MC&G:

CNO:
N096

POC: N961C

CMC:
AC/S C4I
POC: HQMIC

Meteorology and Oceanography

Areas: Meteorology and Oceanography (METOC); Astrometry; Precise Time and Time Interval (PTTI)

OSD:
DDR&E
DON:
ASN(RD&A)
For 6.1, 6.2, and 6.3 R&D:
Chief of Naval Research
POC: ONR-32
For 6.4, 6.5, 6.6, 6.7 R&D: TBD
CNO:
For Operations and 6.4 R&D (link pin to 6.5, 6.6, 6.7 in OPNAV):
N096
POC: N0961B
CMC:
For METOC only: AC/S Aviation
POC: HQMC, ASL44

Security

Area: Operational Security

OSD:
ASD(C3I)/DASD(I)/Director, Counterintelligence and Security Programs,
DON:
ASN(RD&A)/DASN(C4I/EW/SPACE)
CNO:
N51
POC: N513
Alt:
CMC:
AC/S C4I

External Liaison

Public Affairs

OSD:
ATSD(PA)
DON:
CHINFO
CNO:
N09C
CMC:
HQMC (Dir of Public Affairs)

Legislative Affairs

OSD:
ATSD (Legislation)
DON:
CLA
CNO:
CLA
CMC:
Legislative Assistant

Legal

Military

Area: Military Personnel Law, Military Justice, International Law, Admiralty Law, Environmental Law, Legal Assistance

OSD:
USD(P&R)/DASD (Requirements & Resources)
DoD GC
DON:
JAG
CNO:
N09J
CMC:
Director, Judge Advocate Division, Office of Counsel,

Civilian

Areas: Commercial Law, Civilian Personnel Law, Environmental Law, Fiscal Law, Intellectual Property Law, Civil Fraud, Real Estate Law, Bankruptcy Law, CIM Law

OSD:
DoD GC
DON:

DON GC
CNO: Not applicable
CMC:
Counsel, OGC

Operational Planning

Areas: Deliberate and crisis action planning.

JCS:
CJCS
POCs:
J-3 (OPS)
J-4 (LOG)
J-7 (Plans & Interoperability)
DON:
Fleet CINCs
POCs:
N83 (CINC liaison with OPNAV)
N83B
CINCLANTFLT Primary: N312S (Ops)
Alt: N413 (Log)
CINCPACFLT:
CNO:
N3/5
POCs:
Primary: N3/5, N312C
Alt: N4, N423D1
CMC:
DC/S PP&O for administrative matters concerning deliberate and crisis action planning
POC: Hd Current Oprs Br, PP&O, HQMC

Policy

Areas covered: Country and technology policy; security associated with international agreements, technology security, and international disclosure (including international visits, publication releases, training)

OSD:
USD(Policy)
POC: Dir., for Policy Automation
DON:
ASN(RD&A)/Dir., Navy International Programs Office,
CNO:
N3/5

N525
CMC:
Primary: HQMC, Code POS

Atomic Energy

Area: Nuclear, biological, and chemical oversight, safety, cooperative threat reduction, onsite inspections, counter-proliferation, training, propulsion, and environmental protection.

Nuclear Weaponry

Area: NBC Warfare, Weapons safety, counter-proliferation, cooperative threat reduction, exercise/incident, inspection, treaty monitoring, nuclear stockpile, training

OSD:
ATSD(AE)
CIM POC: DNA
DON:
ASN(RD&A)/Dir, Navy International Programs Office

Cooperative Threat Reduction, Counter-proliferation, NBC Warfare, Treaty Monitoring, Nuclear Stockpile:

CNO:
N51
POC: N514C

Weapons safety, exercise/incident:

CNO:
N411
POC: N411F2

Counter-proliferation, Treaty Monitoring, Inspection only:

CMC:
POC: National Plans Br., PP&O, HQMC

Nuclear Propulsion

OSD:
USD(A&T)
DON:
ASN(RD&A)/DASN(Ships)
CNO:
N00N, Naval Nuclear Propulsion Program
CMC: Not applicable

Appendix III

Test and Evaluation

References: (a) DOD 5000.3-M-4, "Joint T&E Procedures Manual," Aug 88 (NOTAL)
(b) Commander, Naval Sea Systems Command Process Description, "Live Fire Test and Evaluation (LFT&E) of U.S. Navy Ships - Process Description," Jun 93 (NOTAL)
(c) OPNAVINST 9072.2, "Shock Hardening of Surface Ships," 12 Jan 87 (NOTAL)
(d) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(e) Joint Logistics Commanders Guidance for use of, "Evolutionary Acquisition Strategy To Acquire Weapon Systems," May 95 (NOTAL)
(f) SECNAVINST 5090.6, "Evaluation of Environmental Effects from Department of the Navy Actions," 26 Jul 91 (NOTAL)
(g) OPNAVINST 5090.1B, "Environmental and Natural Resources Program Manual," 1 Nov 94 (NOTAL)

1.1 Test and Evaluation (T&E) Responsibilities and Points of Contact

1.1.1 Navy Responsibilities and Points of Contact

1. Chief of Naval Operations (CNO) (N091). Serves as the principal interface between CNO and Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)), on matters relating to T&E. Responsibilities include:

a. Acting for CNO in resolving T&E issues.

b. Establishing and issuing policy regarding conduct of operational T&E.

c. Coordinating T&E document preparation.

d. Providing principal liaison with Commander, Operational Test and Evaluation Force (COMOPTEVFOR) on operational test requirements and execution.

e. Acting for CNO as the single point of contact for

interface with DoD's Director, Operational Test and Evaluation (DOT&E) for test and evaluation master plan (TEMP) and test plan coordination and approval.

f. Serving as the Office of the Chief of Naval Operations (OPNAV) point of contact with the Office of the Secretary of Defense (OSD) on joint service testing matters conducted in accordance with reference (a).

g. Coordinating operational test and evaluation (OT&E) support for the United States Marine Corps (USMC).

h. CNO (N091) is designated as the Navy LFT&E primary point of contact.

2. Board of Inspection and Survey (INSURV). INSURV shall conduct acceptance trials and inspections of all ships and service craft prior to acceptance for naval service. For aircraft programs selected for INSURV oversight, INSURV shall:

a. Monitor all developmental test and evaluation (DT&E) conducted by the developing activity (DA) and submit an independent technical assessment to CNO and the Secretary of the Navy (SECNAV) at each key milestone decision point.

b. Provide quarterly status updates to CNO.

c. When appropriate, submit independent reports of major problems to the CNO.

d. Submit an independent technical assessment of readiness for Operational Evaluation (OPEVAL) to CNO and COMOPTEVFOR. See this instruction, enclosure 3, paragraph 3.4, for further guidance.

e. Conduct INSURV Aircraft Trials. INSURV final phase DT-III Trials shall determine if military specifications of the contract have been satisfactorily fulfilled; evaluate engineering changes and corrections; verify the effectiveness of product improvement actions; and the applicability of pre-production test results to the production aircraft weapon system. The DA shall fund INSURV DT-III testing.

3. Test Planning Working Group (TPWG)/T&E Coordinating Group (TECG). TPWG and TECG policy, membership, and focus are provided in enclosure (7), appendix III, paragraph 1.2.1 and 1.2.2, respectively.

1.1.2 Marine Corps Responsibilities and Points of Contact

1. Commandant of the Marine Corps (CMC) and Headquarters Marine Corps Staff

a. CMC. T&E in the system acquisition process directly supports the CMC's responsibilities for ensuring the readiness and mission capability of the Fleet Marine Force (FMF). The CMC shall issue service policies, procedures, and requirements for Marine Corps Joint Test and Evaluation (JT&E).

b. Deputy Chief of Staff for Programs and Resources DC/S(P&R). Specific T&E responsibilities shall include:

(1) Providing oversight of programming activities related to DT&E, Operational Test and Evaluation (OT&E), and JT&E.

(2) Coordinating with the Commander, Marine Corps Systems Command (COMMARCORSYSCOM) to ensure that budgetary and programmatic decisions support JT&E and the Marine Corps mission and budget.

c. Deputy Chief of Staff for Manpower and Reserve Affairs (DC/S M&RA). After consultation with COMMARCORSYSCOM and the Director, Marine Corps Operational Test and Evaluation Activity (MCOTEA), the DC/S M&RA shall:

(1) Oversee manpower and personnel requirements for Marine Corps participation in JT&E.

(2) Assign a Deputy Test Director (TD) for multi-service OT&E of ACAT I and designated ACAT II programs.

(3) Assign a TD for OT&E of ACAT I and designated ACAT II programs.

(4) Assign a Deputy TD for JT&E-approved programs after appropriate coordination.

d. Deputy Chief of Staff for Installations and Logistics (DC/S I&L). DC/S(I&L) shall:

(1) Act as the focal point for interface with the Board of Operating Directors for Test and Evaluation (BoOD(T&E)).

(2) Serve as functional manager for Marine Corps automated information systems (AISs) logistics systems.

(3) Develop the concept of employment (COE) and mission essential functions for AISs and interoperability and standards requirements for operational requirements documents (ORDs).

(4) In coordination with COMMARCORSYSCOM, the Marine Corps DRPMs, and Director, MCOTEA, shall provide a representative to assist in determining AIS program failure definition (FD)/scoring criteria (SC) for each AIS program under development and will provide a voting member for scoring conferences.

2. Director, Marine Corps Intelligence Center (MCIC). The Director, MCIC shall provide COMMARCORSYSCOM, Marine Corps Direct Reporting Program Managers (DRPMs), and Director, MCOTEA with a test threat support package (TTSP) based on the latest system threat assessment (STA). The TTSP shall include all threat data required to support developmental and operational testing.

3. Commanding General, Marine Corps Combat Development Command (CG, MCCDC). CG, MCCDC shall:

a. Develop the concept of employment (COE) and mission essential functions for proposed non-automated information systems and interoperability and standards requirements for operational requirements documents (ORDs).

b. In coordination with COMMARCORSYSCOM, the Marine Corps DRPMs, and Director, MCOTEA, shall provide a representative to assist in determining non-AIS program FD/SC for each program under development and will provide a voting member for scoring conferences.

4. COMMARCORSYSCOM. COMMARCORSYSCOM shall:

a. Budget for DT&E and OT&E.

b. Provide a test support package (TSP) to the Director, MCOTEA, 1 year before scheduled operational test (OT) start. The TSP shall include program documentation prepared during the acquisition process which supports test planning and conduct. As a minimum, it shall include an ORD, a STA, a threat scenario, a MCCDC-approved Concept of Employment, program documentation addressing support, and life-cycle management of hardware and computer resources and an organizational structure to include a table of organization and table of equipment. Upon request, COMMARCORSYSCOM shall provide software documentation. The threat scenario must include a signed concurrence from MCIC.

c. Serve as the Marine Corps point of contact with Office of the Secretary of Defense (OSD) on matters relating to Live Fire Test and Evaluation (LFT&E) and on joint service testing matters in accordance with reference (a).

d. Consolidate and process quarterly requests for use of naval fleet assets in support of research, development, test, and evaluation (RDT&E) requirements.

e. Represent the Marine Corps in all joint DT&E matters.

f. Exercise review and approval authority over TEMPs for all assigned programs and those multiservice programs.

g. Establish and chair a Test Integration Working Group (TIWG) for all assigned programs. See the Deskbook (DON Section) for additional information.

h. Certify that systems are safe and ready for DT&E and OT&E.

i. Manage the Marine Corps External Airlift Transportation (EAT) Certification Program.

j. Manage the Marine Corps Foreign Comparative Test Program.

5. Director, Marine Corps Operational Test and Evaluation Activity (MCOTEA). The Director, MCOTEA shall ensure that the OT of all acquisition category (ACAT) I, IA, II, III, and IVT programs is effectively planned, conducted, evaluated, and reported, and shall:

a. Coordinate the scheduling of resources for OT requiring FMF support through the Five Year Master Test Plan (FYMTP) published annually with quarterly updates.

b. Host and chair a TIWG for determining FD/SC for each program. See the Deskbook (DON Section) for further guidance.

c. Prepare Part IV of the TEMP with the exception of live fire test and evaluation.

d. Request, from CMC, the assignment of a TD for ACAT I and certain ACAT II programs.

e. Task the FMF and other commands in matters related to OT&E by publishing a Test Planning Document (TPD).

f. When significant test limitations are identified, advise the milestone decision authority (MDA) of risk associated in the procurement decision.

g. Manage those OSD-directed multiservice OT&Es for which the Marine Corps is tasked.

h. Chair and conduct an operational test readiness review (OTRR) for determining a program's readiness to proceed with OT&E. See the Deskbook (DON Section) for further guidance.

i. Prepare and provide directly to the CMC, within 120 days after completion of OT&E, an independent evaluation report (IER) for all OT&E.

j. Coordinate Marine Corps support for other military services' OT&Es.

k. Advise the BoOD(T&E) on OT&E matters.

l. Chair an annual OT&E planning conference. The conference shall have representation from the FMF, appropriate HQMC staff offices, MCCDC, MARCORSYSCOM, and others, as appropriate.

m. Maintain direct liaison with Director, DTSE&E, the FMF for OT&E matters, and other military activities and commands, as required.

6. FMF. The Commanding Generals, Fleet Marine Force Pacific (FMFPAC) and Fleet Marine Force Atlantic (FMFLANT) shall each:

a. Designate a test coordinator as a focal point for all T&E matters.

b. Support MCOTEA in the T&E of new concepts, equipment, and systems.

c. Provide a TD who will write the OT report and submit it to MCOTEA via the CG of the appropriate FMF within 30 days of completion of OT&E for an ACAT II, III, or IV program.

d. Provide personnel and equipment to participate in JT&E programs, as required.

1.2 Test Planning

1.2.1 Test Planning Working Group (TPWG)

TPWGs provide the forum for discussing, coordinating, and

resolving of test planning goals and issues. Examples of TPWG meeting topics are listed in the Deskbook (DON Section). The following are activities for establishing a TPWG:

1. The TPWG shall be chaired by the PM or designated representative (normally military O-6/O-5 or civilian equivalent).

2. The recommended TPWG membership should include the requirements officer (RO), the T&E coordinator (CNO (N912)), COMOPTEVFOR staff, program office DT&E representatives, and Systems Command (SYSCOM) T&E Division representatives, ASN(RD&A) staff, joint service representatives, OSD personnel, and contractors, as applicable.

3. The frequency of TPWG meetings shall be established by the PM and meeting minutes shall be published.

1.2.2 Test and Evaluation Coordination Group (TECG)

When T&E issues arise that cannot be resolved between the applicable commands or when extensive T&E coordination is required, a TECG shall be convened. A TECG may also be used to implement urgent required changes to the TEMP. When used for urgent TEMP changes either a page change shall be issued or the formal report of the TECG shall be attached to the TEMP as an annex until the next required update or revision.

1. TECGs shall be convened by CNO (N912) via formal correspondence. TECG membership shall include:

   a. CNO (N912) Division Director - Chair.

   b. Applicable CNO (N912) T&E Coordinator - Co-chair.

   c. RO.

   d. PM.

   e. OPTEVFOR Assistant Chief of Staff (ACOS) or Deputy ACOS (DACOS) (for the particular warfare specialty).

   f. Operational TD (or designated representative).

   g. Applicable ASN(RD&A) staff representative.

   h. Others as appropriate.

2. The results of the TECG shall be reported in formal correspondence to all attendees.

3. The National Security Agency (NSA) has primary responsibility for developing and testing Consolidated Cryptologic Program (CCP) systems. A CCP TECG shall be used to identify Navy-unique effectiveness and suitability issues for emergency CCP Programs, develop a coordinated Navy position on cryptologic T&E issues, and determine the extent of Navy participation in multiservice testing. A CCP TECG may also be used to resolve issues relating to assigning or canceling CCP T&E Identification Numbers (TEIN).

1.2.3 Test Integration Working Group (TIWG)

TIWG is established to effect Marine Corps T&E coordination. The procedures and membership are in the Deskbook (DON Section).

1.3 Navy General Test & Evaluation Procedures

1.3.1 Developmental Test and Evaluation (DT&E)

DT&E shall be conducted in three major phases. The specific objectives of each phase shall be developed by the DA and outlined in the TEMP. Use of properly validated modeling and simulation techniques to assess areas in which testing is not yet possible or practical, as well as establishing and implementing software development metrics, is encouraged. Specific descriptions of developmental testing phases are in the Deskbook (DON Section) and should be referenced for additional information.

1.3.1.1 DT-I

DT-I is conducted during program definition and risk reduction to support Milestone II.

1.3.1.2 DT-II

DT-II is conducted during engineering and manufacturing development (EMD) to support the Milestone III decision and shall include, as a minimum, testing to determine:

1. Safety, the effects of volatile materials, and insensitive munitions.

2. All electromagnetic environmental effects, such as: electromagnetic compatibility (EMC), electromagnetic interference (EMI), electronic countermeasures (ECM), electronic countercountermeasures (ECCM), electromagnetic vulnerability (EMV), hazards of electromagnetic radiation to ordnance and fuel (HERO), and hazards of electromagnetic radiation (RADHAZ) to personnel.

3. The effectiveness and supportability of any built-in diagnostics.

At Milestone II, COMOPTEVFOR and the DA shall determine what constitutes production representative hardware and what degree of software maturity (e.g., software requirements, software quality, computer resource utilization, build release content) is necessary for technical evaluation (TECHEVAL) data to be used in support of OT&E. Software to be used for OPEVAL shall be the same as or functionally representative of that software intended for fleet use at initial operational capability (IOC) of a system and will be validated during TECHEVAL. CNO (N091) shall arbitrate issues regarding production and fleet representative hardware and level of software development either by directive or

by a decision subsequent to convening a TECG.

1.3.1.3 DT-III

DT-III is conducted during production, fielding/ deployment, and operational support.

1. Production acceptance test and evaluation (PAT&E) shall be the responsibility of the DA. PAT&E objectives, excluding factory inspections and certifications, shall be outlined in the TEMP.

2. For aircraft and selected aviation system acquisition programs, the final phase of DT-III shall be conducted by the INSURV.

1.3.1.4 DT&E Schedules

The DA shall provide COMOPTEVFOR with schedules of DT&E activities, program and system documentation (in draft form, if necessary), and access to DT&E activities.

1.3.1.5 DT&E Test Data

All relevant DT&E data shall be made available to keep all agencies apprised of program test results.

1.3.1.6 DT&E/OT&E Interface

During combined DT and OT it may be necessary for a dedicated period of OT. This dedicated period, generally near the end of combined testing, is necessary for COMOPTEVFOR to evaluate system performance in an operationally representative environment as possible. COMOPTEVFOR shall participate in DT&E planning, monitor DT&E, assess relevant OT&E issues, and provide feedback to the DA. The Acquisition Coordination Team (ACT) is encouraged to facilitate this planning process. Specific conditions and responsibilities, including the sharing of test data, shall be outlined via a memorandum of agreement (MOA) between the DA and COMOPTEVFOR. The MOA must address the statutory limitations on contractor involvement in operational testing. TECHEVAL and OPEVAL shall not be combined.

1.3.1.7 Operator and Maintenance Training

The DA shall provide system operator and maintenance training for the Operational Test Director (OTD) and members of the operational test team (including crew members). Scheduling of this training shall be coordinated between OPTEVFOR and the DA.

1.3.1.8 Live Fire Test and Evaluation (LFT&E)

LFT&E shall be addressed in Part IV of the TEMP.

1.3.1.8.1 LFT&E of High Value Platforms

The DA for an ACAT I or II covered major system, major munitions, or missile program shall implement reference (b) in order to comply with the LFT&E statute 10 U.S.C. 2366.

1.3.1.8.2 LFT&E of Ships

For ships, the qualification of the survivability baseline is conducted during construction and shakedown. During construction, tests and inspections confirm the achievement of compliance with the requirements of the shipbuilding specification in the areas of shock hardening, air blast hardening, fire containment, damage control features, structural hardening, and chemical, biological, and radiological (CBR) protection. During the 1-year shakedown period following delivery of the lead ship of a class, or early follow ship as determined in accordance with reference (c), a full-ship shock trial shall be conducted to identify any unknown weakness in the ability of the ship to withstand specified levels of shock from underwater explosions.

1.3.1.8.3 LFT&E Reporting Requirements

To satisfy reporting requirements, the DA shall prepare a report of LFT&E to be submitted to DOT&E, via CNO (N091), in time to allow OSD 45 days to prepare an independent report and submit it to Congress prior to the program proceeding beyond low-rate initial production (LRIP). CNO (N091), as the OPNAV LFT&E focal point, shall be apprised of problems when specific programs are unable to meet the provisions of reference (d) and this instruction and shall be kept informed of the LFT&E program progress and execution.

1.3.1.8.3.1 LFT&E Waivers

Waivers from realistic survivability testing (i.e., full-up system-level) and lethality testing and certifications to Congress that live fire testing would be unreasonably expensive and impractical, shall be submitted by the MDA to DOT&E and Congress prior to Milestone II. Waivers shall be coordinated with the program sponsor and CNO (N091). Waivers and certifications to Congress for ACAT III and IV programs shall also be coordinated with ASN(RD&A).

1.3.2 Operational Test and Evaluation (OT&E)

OT&E is subdivided into initial OT&E (IOT&E) and follow-on OT&E (FOT&E). For each program, critical operational issues (COIs) shall be developed by OPTEVFOR and published in part IV of the TEMP. The COIs are linked to CNO requirements established in

the ORD. The phases listed below shall be tailored through further sub-division, as required.

1.3.2.1 IOT&E

IOT&E is all OT&E up to and including the completion of OPEVAL.

1.3.2.1.1 Operational Assessments (OAs)

When the maturity of a system will not support a full operational test, an OA may be conducted. OAs can be made at any time using technology demonstrators, prototypes, mockups, or simulations, but will not substitute for the independent OT&E necessary to support full production decisions. OAs can be used to support a LRIP decision and are included in Part IV of the TEMP. For programs that have OSD oversight and an acquisition is planned, the OA Plans shall be briefed by appropriate OPTEVFOR staff and formally approved by DOT&E.

Early operational assessments (EOAs) are conducted during the program definition and risk reduction phase to support Milestone II. Tests will employ virtual models, advanced development models (ADMs), prototypes, brass-boards, or surrogate systems. The primary objectives of an EOA are to provide an early projection of a system’s potential operational effectiveness and potential operational suitability. An EOA shall be considered for ACAT I and II programs, other programs receiving DOT&E oversight, and other ACAT programs, as appropriate.

1.3.2.1.2 OT-I (EOAs)

OT-I tests shall employ advanced development models, prototypes, brass-boards, or surrogate systems. OT-I shall be conducted, when appropriate, for ACAT I programs. OT-I shall be conducted, when appropriate, for ACAT II, other programs receiving DOT&E oversight, and other ACAT programs.

1.3.2.1.3 OT-II

In most programs, at least one complete phase of OT&E is a prerequisite to startup of the production line. The milestone decision authority (MDA) shall determine if OT&E is required prior to start-up of the production line. If there are two or more phases of OT-II, the final phase of OT-II is a formal OPEVAL. OPEVAL shall include a recommendation for fleet introduction and is a prerequisite for beyond LRIP (BLRIP) approval.

1.3.2.1.4 OPEVAL

Equipment/software introduced into the tested system for OPEVAL or FOT&E shall be production representative. See this instruction, enclosure (7), appendix III, paragraph 1.3.1.2, for software OPEVAL requirements. The level of system development shall be documented in the TEMP parts III and IV. OPEVAL shall commence upon the DA's certification of readiness for operational testing unless otherwise directed by CNO (N091) or if waivers are required (see this instruction, enclosure (3)). OPEVAL shall not begin until after completion of TECHEVAL and receipt and consideration of the TECHEVAL results by CNO (N091) and COMOPTEVFOR. The time allotted between completion of OPEVAL and the Milestone III decision must allow 90 days for preparing the evaluation report by COMOPTEVFOR plus any additional time required by the DA to plan for discrepancy correction. Requests for earlier reporting shall be made to CNO (N091) and shall be considered on a case-by-case basis. If production or fleet introduction is not approved at Milestone III, subsequent T&E shall be identified as further phases of DT-II and OT-II. If the system is approved for acquisition of additional LRIP quantities because significant deficiencies remain, CNO may schedule an "OPEVAL Phase II", rather than retest during FOT&E.

1.3.2.2 FOT&E

FOT&E is all OT&E after the final phase of OPEVAL.

1.3.2.2.1 OT-III

OT-III shall be conducted, if appropriate, to evaluate correction of deficiencies in production systems, to complete deferred or incomplete IOT&E, and to continue tactics development.

1.3.2.2.2 OT-IV

OT-IV shall be scheduled and conducted to evaluate operational effectiveness and suitability for every program in which production models have not undergone previous OT&E.

1.3.2.3 OT Resource Requirements

COMOPTEVFOR shall advise the DA of OT&E resource requirements and maintain continuous close liaison with the DA over the life of the program. CNO (N091) shall resolve issues when there is a disagreement between the DA and COMOPTEVFOR.

1.3.2.4 OT Data

COMOPTEVFOR shall provide OT data to the DA and others upon request after issuance of the final test report. The exceptions to this policy are anomaly reports and deficiency

reports which are explained in this instruction, enclosure (3).

1.3.2.5 Combined DT&E/OT&E

See this instruction, enclosure (3), paragraph 3.4.2, and enclosure (7), paragraph 1.3.1.6.

1.3.3 Software Qualification Testing (SQT)

Post-Milestone III software testing, that is solely intended for a fleet release recommendation of software, shall be conducted by COMOPTEVFOR as SQT. SQT applies to software modifications of limited scope, as determined by CNO (N091), such as aircraft and weapons systems operational flight programs (OFPs) and other systems in which software provides a similar function. When a program is approved for SQT, CNO (N091) shall assign a TEIN, when required. If a new TEIN is assigned, a SQT TEMP shall be written using the title page format of this instruction, enclosure (7), appendix III, TEMP Cover Page Format For Software Qualification Testing Programs. For SQT, a statement of functionality prepared by the DA and approved by the program sponsor shall be used to develop the SQT TEMP.

1. Software Release to the Fleet for Existing Hardware Platforms. There is no need to re-evaluate hardware reliability, maintainability, availability, and logistics supportability for new software releases for existing hardware platforms, unless other deficiencies exist which require re-evaluation.

2. Software Release to the Fleet for New Hardware Platforms. An OPEVAL or FOT&E is required for full fleet release (FFR) of existing software ported to a new hardware platform.

1.3.3.1 Statement of Functionality

The PM shall forward a Statement of Functionality to COMOPTEVFOR, via the program sponsor, copy to CNO (N912). The program sponsor's endorsement will serve as validation of software requirements for that intended release. The statement of functionality shall define:

1. New capabilities of the improved software.

2. Corrections to previous deficiencies that the new software is intended to correct.

3. Any capabilities that were deleted.

4. Description of the breadth and depth of regression testing conducted.

5. Specific operational requirement(s) the new software will address.

6. Safety and/or security issues or functions added, modified, or deleted.

1.3.4 TEMP

For all programs requiring OT&E, the TEMP is the controlling T&E management document, or T&E management portion of a single acquisition document. The TEMP shall be prepared in accordance with reference (d), appendix III.

1.3.5 Land Based Test Sites (LBTS)

Use of these facilities during the early stages of development is encouraged. COMOPTEVFOR shall advise CNO (N091) on the adequacy of the LBTS for the conduct of OT&E. Use of a LBTS for OPEVAL or FOT&E shall be approved by CNO (N091). The following are not considered LBTSs:

1. Test facilities used to develop individual equipments, subsystems, or software.

2. Ships and aircraft used as test beds.

3. General purpose engineering or test facilities.

1.3.6 Special T&E Considerations

1.3.6.1 T&E of Ships

CNO (N091) shall determine when a new ship requires full ship OT&E. DT&E and IOT&E prior to Milestone II shall normally address T&E of individual, new, or modified shipboard systems. T&E on individual weapon systems, as well as T&E at LBTSs, shall be a primary focus during testing. For prototype or lead ship acquisition programs, T&E shall be conducted on the prototype or lead LRIP ship as well as on individual systems.

1.3.6.2 T&E of Space Systems

Since prototype satellites are often launched as operational satellites, T&E for space systems emphasizes DT&E. Once in orbit, any test of the satellite is also a test of the ground links and other peripheral equipment. For very large systems, nonflying qualification models may be built for DT&E, and are often used as the core of LBTSs to develop the earth terminals.

1.3.6.3 T&E of Modifications

The recommendations of COMOPTEVFOR, the DA, the CNO resource and program sponsor(s), and INSURV (where applicable) shall be considered by CNO (N091) in determining the scope of testing.

1.3.6.4 T&E of Computer Resources

Computer resources testing shall be documented in the program TEMP. Planning, programming, and budgeting of computer resources T&E shall be within the context of overall system development. The DA shall provide COMOPTEVFOR any program plans relating to computer resource T&E considerations.

Standard embedded computer resources (SECR) are computer resources acquired as a standard commodity for use in other systems. Consequently, the use of SECR in DON is no longer required in new systems, but shall be supported in deployed systems and systems currently being procured with SECR. For those host systems still using SECR, the T&E procedures of this paragraph shall be followed. SECR does not include application software. SECR operational effectiveness and suitability is not normally evaluated separately from the operational effectiveness and suitability of the host system. OT&E of SECR on a stand-alone basis is not appropriate. Initial SECR acquisition shall include a complete DT&E program ending with a TECHEVAL, which shall be conducted on a production representative system in an operational environment. The results of these tests shall provide the basis for SECR LRIP decisions. OPTEVFOR shall participate in SECR DT&E and provide assessments, as appropriate, to the CNO and the MDA. The specific role of OPTEVFOR in DT&E shall be established in the SECR TEMP.

1.3.6.5 T&E of Non-Developmental Items/Commercial Off-The-Shelf (NDI/COTS)

Prior to an NDI/COTS acquisition decision, the DA, with the assistance of COMOPTEVFOR, shall assess the adequacy of any previously conducted DT&E, OT&E, contractor, or other source data and provide recommendations to CNO (N091) on the need for additional T&E requirements. When the procurement of a system developed or tested by a non-DON DA is being planned, a memorandum of understanding (MOU) between the activities involved will address the acceptance of prior T&E results. If additional T&E is required, the DA shall request initiation of a T&E program through TEIN assignment.

1.3.6.6 T&E of Warfare Systems

T&E of acquisition programs designated as warfare systems shall include testing to demonstrate that specifications and standards identified by the Space and Naval Warfare Systems Command (SPAWARSYSCOM), Warfare Systems Architect (WSA), and Warfare Systems Engineer (WSE) have been met.

1.3.6.7 OPTEVFOR Tactics Guides

COMOPTEVFOR shall issue a "Tactics Guide" for systems whenever the information gained in OT&E and by other means is useful to ship and aircraft commands and commands charged with subsequent tactics development.

1.3.6.8 Extension of Application

An extension of application eliminates the requirement for OPEVAL by COMOPTEVFOR for the common system, subsystem, or equipment. Concurrence of the suitability of extension of application shall be obtained via COMOPTEVFOR. Extension of application does not eliminate the need to obtain fleet introduction approval from the program sponsor. A period of FOT&E shall be considered to verify that integration of the system, subsystem, or equipment into the host platform has not degraded performance. Following FOT&E, the program sponsor shall determine if full fleet introduction or installation is appropriate.

1.3.6.9 T&E of Evolutionary Acquisition (EA) Systems

References (d), (e), and this instruction are the primary guides for developing an EA strategy. Operational testing requirements for EA programs may preclude updating the TEMP in a timely manner. For EA programs, the initial TEMP shall comply with reference (d), appendix III. DT&E and OT&E shall concentrate on the T&E required for the basic core and the first increment. TEMP annexes shall be used for all subsequent increment testing. The specific format for the annexes shall be coordinated with CNO (N912). The program ORD shall reflect the changes to system requirements prior to TEMP update or revision. A phased OPEVAL approach shall be considered to support an EA strategy. FOT&E or SQT shall be considered between increments when software releases require testing by COMOPTEVFOR.

1.3.6.10 T&E of Software

Software shall be operationally tested in the system in which the software application is installed or implemented when fielded. The software to be used for OPEVAL and FOT&E shall be the software intended for fleet use. Software improvements shall be reflected in sequential releases. Software releases shall fall into three categories: major, minor, or maintenance. CNO (N091) shall resolve issues on the category of a software release as it relates to T&E.

1.3.6.10.1 Major Releases

Major releases shall require operational testing by COMOPTEVFOR. Such releases involve a change that adds new functions or warfare capabilities, interfaces with a different

weapon system, redesigns the software architecture, ports the software to a new hardware platform, or rewrites the software in a different language.

1.3.6.10.2 Minor Releases

Minor releases are improvements that do not add any significant functions or interfaces and shall be tested by COMOPTEVFOR if requested by the PM and approved by CNO (N091). Numerous minor releases can lead to degraded software reliability and performance. In such cases, OPTEVFOR operational testing shall be considered by the PM or may be directed by CNO (N091).

1.3.6.10.3 Maintenance Releases

Maintenance releases are "fixes" for minor problems and shall not require testing by COMOPTEVFOR. However, COMOPTEVFOR testing is appropriate when maintenance releases are so numerous as to jeopardize the reliability and performance of the software.

1.3.6.11 Verification of Corrected Deficiencies In Previous OT

This evaluation shall apply to only those COIs that have been corrected and the evaluation shall not require end-to-end testing of the complete system. The DA shall submit retesting requests to CNO (N091) with an info copy to COMOPTEVFOR. The TEMP need not be updated/revised prior to a verification of correction of deficiencies. Rather, the verification of correction of deficiencies and its results shall be incorporated in the next scheduled TEMP update/revision.

1.3.6.12 Modeling and Simulation (M&S)

M&S refers to computer-based modeling and simulation, hardware-in-the-loop hybrid simulators, and person-in-the-loop hybrid simulators. OT&E shall not be based exclusively on computer modeling. A verification, validation, and accreditation process with supporting documentation shall be required to accredit the model. COMOPTEVFOR shall accredit all models used to supplement OT. Operational testers shall be involved early in M&S planning to develop test scenarios and define test range, target, threat, and test article requirements for incorporation in the TEMP. Examples of when M&S may be used include:

1. To assess the adequacy of future test plans.

2. To assess performance against threats for which there currently is no suitable target.

3. To adequately test complex systems in dense combat environments.

1.3.6.13 Quick Reaction Assessment (QRA)

When operational necessity dictates, it may be required to modify the established operational testing process to rapidly achieve a rapid capability in the fleet (see related rapid deployment capability (RDC) process in this instruction, enclosure (1), paragraph 1.9). In such cases, the program sponsor may obtain a quick COMOPTEVFOR assessment of operational considerations and system capabilities. If such an assessment is desired the program sponsor shall request a QRA from CNO (N091), info COMOPTEVFOR. When approved, COMOPTEVFOR shall conduct the assessment and issue a report as soon as possible with interim information if needed. A QRA shall be used by COMOPTEVFOR to assess operational effectiveness and suitability. The following information shall be included in the QRA request:

1. The purpose of the assessment and, specifically, what questions the program sponsor wants answered.

2. The length of time available for the assessment.

3. The funding available for the assessment.

1.3.6.14 Joint Interoperability

For programs requiring joint interoperability, joint interoperability COIs shall be used to address effectiveness during operational testing. Joint interoperability requirements shall be addressed in the ORD. When joint interoperability is not addressed in the ORD, the ORD shall be updated for all milestones to include joint interoperability requirements for the system, or a memorandum shall be issued by CNO (N8) which explicitly states that "no joint interoperability requirements exist." For SQT, the statement of functionality shall be used to state joint interoperability requirement.

1.3.6.15 Environmental Protection

Testing shall be planned to ensure compliance with applicable environmental requirements including the National Environmental Policy Act (NEPA). References (f) and (g) shall be used to ensure that test planning, resource allocation, site selection, and execution are performed in a manner that minimizes impact on the environment. Requirements for special environmentally compliant facilities, tools, and methods shall be identified early by the DA and COMOPTEVFOR to allow for funding and development. The results of these requirements shall be outlined in the environmental, safety, and health evaluation and those aspects which directly affect testing shall be addressed in the TEMP as limitations or conditions of the testing.

1.3.7 RDT&E Support

RDT&E support is provided by operational forces to the DA, COMOPTEVFOR, INSURV, or a research and development (R&D) agency, for the accomplishment of T&E. RDT&E support shall not be provided except under the provisions of this instruction.

1.3.7.1 Levels of Support

Three levels of RDT&E support are as follows:

1. Dedicated support - precludes employment of the supporting unit(s) in other missions.

2. Concurrent support - permits employment of the supporting unit(s) in activities other than RDT&E support, but could have an operational impact upon unit employment.

3. Not-to-interfere basis (NIB) support - permits RDT&E operational employment of the supporting unit(s) without significant interference with primary mission accomplishment.

1.3.7.2 RDT&E Support Approval

CNO (N091) shall approve RDT&E support requirements from two inputs:

1. Updated quarterly DT&E service requests from PEOs/SYSCOMs/DRPMs based on requirements established in TEMPs, Non-Acquisition Program Definition Documents (NAPDDs), or other test documentation.

2. Updated quarterly OT&E requests from COMOPTEVFOR.

1.3.7.3 Requests for RDT&E Support

RDT&E support requirements shall be submitted to CNO (N912), with a copy to COMOPTEVFOR, and shall be updated on a quarterly basis beginning 9 months prior to the quarter in which services are needed (See Deskbook (DON Section) for formats). This ensures requirements are addressed at fleet employment scheduling conferences. CNO (N912) shall be notified immediately of any support cancellations.

1.3.7.4 Unscheduled RDT&E Support Requirements

RDT&E support requests received after the 9-month deadline (paragraph 1.3.7.3) shall be postponed to the following quarter unless the urgency is justified in writing by the program sponsor and submitted to CNO (N091). Unscheduled RDT&E support requirements shall be submitted by message to CNO (N912) and the program/resource sponsor with info copies to the Fleet Commanders in Chief (FLTCINC) and commands involved.

1.3.7.5 Fleet Support Priorities

The determining factor in assigning priorities shall be the urgency of maintaining the RDT&E schedule. CNO (N091) shall assign a fleet support priority, as defined below, each quarter to all RDT&E support programs in the CNO quarterly RDT&E support requirements.

1. Priority ONE - support takes precedence over normal fleet operations. RDT&E support requiring the degree of urgency to assign a priority ONE shall be requested in writing by the program sponsor, without delegation. This request shall contain justifying information including: the next milestone and its date, the decision forum, the impact should the milestone slip, and the date of the latest approved TEMP.

2. Priority TWO - support takes precedence within normal fleet operations.

3. Priority THREE - normal fleet operations take precedence over support.

1.3.7.6 RDT&E Support Scheduling

COMOPTEVFOR shall coordinate RDT&E support scheduling for CNO.

1.3.7.7 Conduct of At-Sea T&E

The operational test coordinator (OTC), or designated representative, shall be responsible for the conduct of at-sea OT&E. The DA shall be responsible for the conduct of at-sea DT&E. They shall be guided by the priorities established in paragraph 1.3.7.5 of this appendix.

1.3.8 T&E Funding Responsibility

1.3.8.1 Developing Activity (DA) Responsibilities

The DA shall plan, program, budget, and fund the costs of all resources identified in the approved TEMP except as noted below. Operating costs for VX squadrons for DT&E and OT&E will be provided on a reimbursable basis by the DA. Funds for OT&E shall be transferred to COMOPTEVFOR for distribution as required. The DA shall not be required to fund:

1. Fleet operating costs for RDT&E support,

2. Fleet travel for training,

3. Non-program-related OPTEVFOR travel and administrative costs, and

4. Non-program-related INSURV travel and administrative costs.

1.3.8.2 FLTCINC Responsibilities

FLTCINCs shall plan, program, budget, and fund fleet travel for training, operating costs for RDT&E support provided by fleet units, and all costs of OT-IV except procurement costs of the systems tested and OPTEVFOR costs.

1.3.8.3 INSURV Responsibilities

INSURV shall plan, program, budget, and fund INSURV travel costs and costs not related to programs under test.

1.3.8.4 Non-Acquisition Programs

Responsibilities for T&E costs for non-acquisition programs are the same as those above. The R&D agency has responsibilities equivalent to those of the DA.

1.3.8.5 Waivers

Waivers of these funding requirements shall be requested, when necessary, from CNO (N82) (see this instruction, enclosure (1), paragraph 1.3.6).

1.3.9 T&E Identification Number (TEIN)

1.3.9.1 TEIN Assignment

CNO (N091) shall assign a TEIN to each DA's program. The recommended format for a TEIN request is provided in the Deskbook (DON Section). Requests shall be forwarded via the program sponsor. These numbers shall be assigned for the life of the program. Six types of programs shall be identified:

1. ACAT programs.

2. Tactics programs (Code "T").

3. Software Qualification Programs (Code "S").

4. OSD-Directed joint T&E programs (Code "J").

5. Non-acquisition programs (Code "K").

6. Foreign comparative testing (FCT) programs (Code "F"), only when fleet services will be required to support testing.

1.3.9.2 Required Documentation

TEINs shall not be assigned to programs that do not have

approved documentation. Minimum documentation requirements are:

1. An approved ORD for ACAT programs.

2. A NAPDD for non-acquisition programs (when required by this instruction).

3. Documentation as discussed in this instruction, enclosure (1), paragraph 1.3.6, for technology based programs.

4. Designation as a Software Qualification Program.

By endorsement, the program sponsor shall ensure the request for TEIN assignment is supported by a valid ORD, NAPDD or RDC.

1.3.9.3 Program Groups

TEINs shall be structured for generic project groups and subprojects. Generic project groups shall be consolidated by identifying the basic project and functionally related sub-projects. If the project for which a TEIN is being requested is a sub-project of an existing project group, it shall be so noted and the generic project number shall be included. Likewise, multiple TEINs may be requested in a single letter.

1.3.9.4 Consolidated Cryptologic Programs (CCP)

Assignment of CCP TEINs shall be in accordance with the following procedures:

1. Commander Naval Security Group (COMNAVSECGRU) shall review draft project baseline summary one (PBS-I) on new CCP programs.

2. If COMNAVSECGRU determines that the system has significant and continuous Navy tactical implications, the PBS-I will be sent to COMOPTEVFOR for review.

3. If COMOPTEVFOR concurs, COMNAVSECGRU shall include the requirement for Navy operational testing in PBS-I comments to the National Security Agency and forward a recommendation for TEIN assignment to CNO (N912).

1.3.9.5 Inactive TEINs

CNO (N912) shall, with DA and program sponsor review, cancel TEINs which have been inactive in excess of 1 year and/or require no further testing.

TEST AND EVALUATION MASTER PLAN PROCEDURES

References: (a) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)

2.1 TEMP Processing and Cover Sheets

This instruction, enclosure (7), appendix III contains the Navy TEMP cover sheet formats for ACAT I, II, III, and IV programs on the following pages after paragraph 2.7.

The OPNAV implementation procedures for preparing, endorsing, and approving Navy TEMPs are described in the following paragraphs.

2.2 TEMP Timing

Final TEMP approval should occur at least 30 days prior to the applicable testing or the next milestone. Accordingly, the DA should allow 30 days for COMOPTEVFOR and OPNAV to review the draft and 30 days to incorporate review comments and to route the TEMP for signatures.

For OSD oversight programs, a draft TEMP shall be submitted to OSD at least 65 days prior and a Navy-approved smooth TEMP 30 days (for final signature review) prior to the next milestone event.

2.3 TEMP Drafting/Submitting

The DA drafts the TEMP with RO and COMOPTEVFOR participation. The PM/DA shall draft the LFT&E section of part IV of the TEMP. COMOPTEVFOR is responsible for drafting part I, paragraph c; part IV; and inputs to applicable sections of part V. Part IV of the TEMP may not be changed without COMOPTEVFOR concurrence. The entire draft TEMP is sent to CNO (N912) for OPNAV review (ACAT I, II, and III). ACAT IVT draft TEMPs shall be sent to the applicable program sponsor for review and to COMOPTEVFOR for review and endorsement.

1. Requirements developed in the analysis of alternatives and incorporated in the ORD shall be listed in the TEMP.

2. CNO (N912) shall distribute copies of the draft TEMP to the applicable program sponsor, CNO (N4), CNO (N6),

CNO (N8), and ASN(RD&A) for review and comment. All comments shall be returned to CNO (N912) for review and consolidation. CNO (N912) shall send consolidated TEMP comments, with rationale for all recommended changes, to the DA for incorporation into the final TEMP. If the program is subject to OSD T&E oversight, CNO (N912) shall deliver appropriate copies to OSD in accordance with reference (a). CNO (N091) is the single OPNAV point of contact with OSD for TEMP coordination.

2.4 TEMP Approval

CNO (N091) will resolve specific issues, and after resolution, the DA and COMOPTEVFOR shall sign and date the smooth TEMP and submit it to the program sponsor to continue the approval process. Sample TEMP cover pages for Navy programs are provided in this appendix on the pages following paragraph 2.7 below. A separate Navy TEMP cover sheet format is provided for software qualification testing. [Note: Use the cover page in this appendix on the page following paragraph 2.7 below, for all Navy programs with OSD T&E oversight.]

2.5 TEMP Distribution

The DA distributes approved TEMPs to all appropriate offices and commands. Approved TEMPs for ACAT IVM programs shall be sent to the applicable program sponsor and COMOPTEVFOR for information.

2.6 TEMP Updates

TEMP reviews, updates, or revisions are required for each milestone event. If the TEMP is still current, CNO (N091) will provide a written statement to the MDA that no changes to the TEMP are required. If not current, the DA shall prepare necessary changes or revisions.

2.7 TEMP Changes and Revisions

For minor changes, the requirement for a new TEMP signature page will be determined by CNO (N091) prior to distribution. TEMP copies held by other agencies shall be updated to accurately reflect changes. As a minimum, TEMP changes shall:

1. Contain a record of change page and a page containing a short summary of the changes.

2. Use change bars in the right margin.

3. Denote all pages containing changes with the notation "CH-___" at the upper right corner.

4. Show the TEIN at the upper right on each page indicating which change version (e.g., all changes are numbered consecutively, TEMP 0527 CH-1). All changes are numbered.

TEST AND EVALUATION MASTER PLAN (TEMP) COVER PAGES

TEMP Cover Page Format For ACAT I
[AND OTHER OSD T&E OVERSIGHT PROGRAMS]

TEMP NO. [Insert TEIN] REV. _____ [AS APPLICABLE]
[PROGRAM TITLE]
Acquisition Category (ACAT) _____
Program Element No. _____
Project No. _____

SUBMITTED BY:

_____ _____
PROGRAM MANAGER DATE

CONCURRENCE:

_____ _____
SYSCOM COMMANDER/PEO/DRPM DATE

_____ _____
COMOPTEVFOR DATE

_____ _____
PROGRAM SPONSOR (Flag) DATE

APPROVED FOR NAVY:

_____ _____
CNO (N091) DATE

_____ _____
ASN(RD&A) DATE

APPROVED:

_____ _____
DOT&E DATE

_____ _____
Dir, TSE&E (OUSD(A&T)) DATE

Distribution is limited to U.S. Government agencies only. Other requests for this document must be referred to the Chief of Naval Operations (N091).
CLASSIFIED BY:_____
DECLASSIFY ON:_____

TEMP Cover Page Format For ACAT II Programs

TEMP NO. [Insert TEIN] REV. _____ [AS APPLICABLE]
[PROGRAM TITLE]
Acquisition Category (ACAT) II
Program Element No. _____
Project No. _____

SUBMITTED BY:

_____ _____
PROGRAM MANAGER DATE

CONCURRENCE:

_____ _____
SYSCOM COMMANDER/PEO/DRPM DATE

_____ _____
COMOPTEVFOR DATE

_____ _____
PROGRAM SPONSOR (Flag) DATE

APPROVED:

_____ _____
CNO (N091) DATE

_____ _____
ASN(RD&A) DATE

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TEMP Cover Page Format For ACAT III Programs

TEMP NO. [Insert TEIN] REV. ____ [AS APPLICABLE]
[PROGRAM TITLE]
Acquisition Category (ACAT) III
Program Element No. _____
Project No. _____

SUBMITTED BY:

_____ _____
PROGRAM MANAGER DATE

CONCURRENCE:

_____ _____
SYSCOM COMMANDER/PEO/DRPM DATE
(if ASN(RD&A) retains MDA)

_____ _____
COMOPTEVFOR DATE

_____ _____
PROGRAM SPONSOR (Flag) DATE

APPROVED:

_____ _____
CNO (N091) DATE

_____ _____
MILESTONE DECISION AUTHORITY DATE

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CLASSIFIED BY:_____
DECLASSIFY ON:_____

TEMP Cover Page Format For ACAT IV Programs

TEMP NO. [Insert TEIN] REV. _____ [AS APPLICABLE]
[PROGRAM TITLE]
Acquisition Category (ACAT) IV
Program Element No. _____
Project No. _____

SUBMITTED BY:

_____ _____
PROGRAM MANAGER DATE

CONCURRENCE:

_____ _____
COMOPTEVFOR DATE
[for ACAT IVT only]

APPROVED:

_____ _____
MILESTONE DECISION AUTHORITY DATE

Distribution is limited to U.S. Government agencies only. Other requests for this document must be referred to the Chief of Naval Operations (N091).
CLASSIFIED BY:_____
DECLASSIFY ON:_____

TEMP Cover Page Format For Software Qualification Testing Programs

TEMP NO. [Insert TEIN] REV. _____ [AS APPLICABLE]
SOFTWARE QUALIFICATION TESTING FOR
[PROGRAM TITLE]
Program Element No. _____
Project No. _____

SUBMITTED BY:

_____ _____
PROGRAM MANAGER DATE

CONCURRENCE:

_____ _____
COMOPTEVFOR DATE

_____ _____
CNO (N091) DATE

APPROVED:

_____ _____
SYSCOM COMMANDER/PEO/DRPM DATE

Distribution is limited to U.S. Government agencies only. Other requests for this document must be referred to the Chief of Naval Operations (N091).
CLASSIFIED BY:_____
DECLASSIFY ON:_____

Navy Certification of Readiness for OT Message Content

The message certifying a system's readiness for OT&E shall contain the following information:

1. Name of the system
2. OT-[phase]
3. TEMP [number]
4. TEMP approval date
5. For software testing, identify the specific release to be tested.
6. Waivers (identify criteria in SECNAVINST 5000.2B to be waived, if any; if none, state "none"). (SECNAVINST 5000.2B shall be Ref A of the certification message)
7. State projected limitations that waived criteria will place on upcoming operational testing.
8. State when waived criteria will be met.
9. Deviations (identify deviations from a testing requirement directed in the TEMP; if none, state "none".). (The TEMP shall be Ref B of the certification message)
10. State projected limitations that waived TEMP requirement will place on upcoming operational testing.
11. State potential waiver impact on fleet use.
12. State when waived requirement will be available for subsequent operational testing.
13. Additional remarks.

Appendix IV

Live Fire Test and Evaluation Coordination Procedures

(See DoD Regulation 5000.2-R of 15 Mar 96, appendix IV, for Live Fire Test and Evaluation Reports, Mandatory Procedures, and Formats for ACAT I and II covered major systems, major munitions and missile programs, and product improvements thereto.)

Appendix V

Major Automated Information System Quarterly Reporting Coordination Procedures

(See DoD Regulation 5000.2-R of 15 Mar 96, appendix V, for Major Automated Information System Quarterly Reporting implementation requirements for ACAT IA programs.)

1.1 Purpose

For each IT program identified as requiring oversight by the Office of the Secretary of Defense (OSD), a Quarterly Major Automated Information System (MAIS) Report shall be submitted to the Assistant Secretary of Defense (Command, Control, Communications and Intelligence (ASD(C3I)). The report is designed to provide information to OSD on the status of the program.

1.2 Preparation

The status report shall be prepared by the program manager (PM) and forwarded to ASN(RD&A) or designee for review and submission to OSD. The report shall be submitted no later than the 15th of the month subsequent to the end of the quarter (i.e., 15 January, 15 April, 15 July, and 15 October).

1.3 Content

The report provides a general overview of the program, information on accomplishments during the most recent quarter, changes, problems, and issues that have occurred. In particular, the reports provide status on milestones, program funding, program costs, risks, staffing, and schedules.

Appendix VI

Cost/Schedule Control Systems Criteria Reporting

(See DoD Regulation 5000.2-R of 15 Mar 96, appendix VI, for Cost/Schedule Control Systems Criteria Reporting implementation requirements for ACAT I, II, III, and IV programs.)

Appendix VII

Glossary

This glossary contains terms used in SECNAVINST 5000.2B, but not found in the DoD 5000.2-R glossary. Entries are in alphabetical order. In some cases the reader is referred to other instructions where a fuller discussion is already provided.

Abbreviated Acquisition Program

- a weapon system program: (1) whose cost is less than all of the following dollar thresholds: $5 million in total RDT&E, $15 million in procurement costs for any fiscal year, and $30 million in total procurement costs for the life of the program (FY 1996 constant dollars), (2) which does not affect the military characteristics of ships or aircraft or involve combat capability, (3) which does not require an operational test and evaluation, and (4) is so designated by the cognizant PEO/SYSCOM Commander/DRPM.

- an information technology program: (1) whose cost is less than all of the following dollar thresholds: $15 million in program costs for any single year and $30 million in total program costs (FY 1996 constant dollars), (2) which does not require an operational test and evaluation, and (3) is so designated by ASN(RD&A) or designee, or PEO/SYSCOM Commander/DRPM.

Acquisition Category IV - a program not meeting the criteria for ACAT I, II, or III. ACAT IVT programs require Operational Test and Evaluation (OT&E). ACAT IVM programs are monitored by COMOPTEVFOR or Director, MCOTEA, but do not require OT&E.

Acquisition Coordination Team (ACT) - a team, normally composed of representatives of the requirements generation, acquisition, testing and financial communities, required for ACAT I and II programs. The ACT is specifically used to oversee the analysis of alternatives, form a tailoring agreement proposal (for program documentation and structure), develop an acquisition strategy and resolve issues at the lowest level possible. ACT’s are encouraged, but not required, for ACAT III and IV programs. See SECNAVINST 5420.188D.

Acquisition Program Baseline - a document that contains the cost, schedule and performance objectives and thresholds of the program beginning at program initiation. It contains only the most important parameters that, if the thresholds are not met, the MDA would require a reevaluation of alternative concepts or design approaches.

Acquisition Review Board - the senior-level forum for advising the PEO/SYSCOM/DRPM on critical decisions concerning all ACAT programs. For ACAT III and IV programs, the ARB serves as the milestone program decision meeting. The ARB is chaired by the PEO/SYSCOM/DRPM and participation is determined by the milestone decision authority. Representatives of the CNO/CMC are also invited to participate.

Advanced Technology Demonstration (ATD) - a means of validating the viability, utility and producibility of a technology as opposed to the demonstration of a system.

Advanced Concept Technology Demonstration (ACTD) - a means of demonstrating the use of mature technology in a system to address urgent military needs. The ACTD is not an acquisition program but if additional units beyond the capability created are required, that shall be an acquisition program.

Air Characteristics Improvement Panel - assists and provides recommendations to the Resources and Requirements Review Board in those responsibilities pertaining to aircraft acquisition and improvement. This includes coordinating the formulation of engineering change proposals (ECPs), future requirements, modifications, cost control and all other matters pertaining to aircraft, aircraft systems, and air launched weapons.

Automated Information System (AIS) - a combination of computer hardware and software, data, or telecommunications, that performs functions such as collecting, processing, transmitting and displaying information. Excluded are computer resources, both hardware and software, that are: physically part of, dedicated to, or essential in real time to the mission performance of weapons systems.

Developing Activity (DA) - the PEO, SYSCOM or DRPM assigned responsibility for program execution.

Evolutionary Acquisition (EA) - an acquisition strategy whereby a basic capability is fielded with the intent to procure and field additional capabilities in the form of modifications to the basic capability fielded. This technique is often found in the development, production and fielding of rapidly advancing technology and in software.

Extension of Application - an acquisition strategy whereby an existing system, subsystem or equipment is selected to be extended in its application to a new host platform. This strategy usually does not require an OPEVAL in the new host platform, but a period of FOT&E is usually required to insure that the system, subsystem or equipment integration has not degraded performance, including the performance of the host

platform.

Failure Modes, Effects and Criticality Analysis - the analysis of the various ways in which an equipment is expected to fail, the failure's resultant effects and impact on mission accomplishment.

Information Resources (IR) - resources which are necessary to develop and operate an Information System. These resources include information, people, equipment, software, facilities, and contractual support for system definition, design, development, deployment and operation. Excluded are computer resources, both hardware and software, that are: physically part of, dedicated to, or essential in real time to the mission performance of weapons systems.

Information Technology (IT) - (A) The term "information technology", with respect to an executive agency, means any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the executive agency. For purposes of the preceding sentence, equipment is used by an executive agency if the equipment is used by the executive agency directly or is used by a contractor under a contract with the executive agency which (i) requires the use of the equipment, or (ii) requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product.
(B) The term "information technology" includes computer, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.
(C) Notwithstanding subparagraphs (A) and (B), the term "information technology" does not include any equipment that is acquired by a Federal contractor incidental to a Federal contract.

Joint Potential Designator - a categorization indicating the degree to which a program has potential for joint use. The codes are: joint, joint interest, or independent.

Level of Repair Analysis - the analysis of a repairable item to determine whether organizational, intermediate or depot is the most appropriate level of repair.

Logistic Support Analysis - range of analyses optimally timed to influence all acquisition processes and decisions to the maximum extent. Such analyses show the support effects of each alternative in terms of risks to program success, tradeoff options, program costs associated with operational testing, operations, training, maintenance, support, and disposal. The support analyses identify a support solution that cost-

effectively supports the system to all specific performance thresholds and objectives over the total life. The benefits of support analyses directly relate to both thoroughness and timing. It should begin during market analysis, prior to program initiation and solicitation decision, and as the rationale for acquiring support assets and services.

Maintenance Concept - expresses the overall maintenance plan for maintaining the platform and system at a defined level of readiness in support of the operational scenario. It includes preventive maintenance, corrective maintenance and depot-level maintenance. It should consider maintainability at all maintenance levels (i.e., organizational, intermediate and depot) as well as address the scope of required work at each level.

Manpower Requirements - the number and type of personnel (military, civilian, or contractor) required to accomplish specified functions/workload within an organization.

Non-Acquisition Program - an effort that does not directly result in the acquisition of a system, subsystem or equipment for operational use. These efforts often provide a proof of principle, or technology application.

Non-Acquisition Program Definition Document - the document used to initiate and provide management control of a non-acquisition program. This document provides a complete explanation of the effort, expectations, schedule and cost of a non-acquisition program.

Production Acceptance T&E (PAT&E) - testing conducted on production items to ensure systems meet contract specifications and requirements.

Program Decision Meeting (PDM) - the Department’s senior-level forum for advising the Assistant Secretary of the Navy (Research, Development and Acquisition) on critical decisions concerning ACAT IC and II programs. The PDM is chaired by the ASN(RD&A) and composed of the Department’s senior acquisition officials, representatives of the CNO/CMC, and others, as appropriate. See SECNAVINST 5420.188D.

Program Sponsor - in coordination with the resource sponsor where separately assigned, acts as the user representative and provides explicit direction with regard to mission and operational requirements generation and changes, program funding, and preparation of necessary program documentation and milestone information.

Resource Sponsor - where separately assigned from the program sponsor, is responsible for program budget development,

submission, and management.

Resources and Requirements Review Board - an integral part of the broad policy and decision-making process with the OPNAV staff. It serves as the focal point for assessing the joint warfare requirements and resources mission and support areas of the Navy, deciding warfare requirements and resources issues, and coordinating the planning, programming, and budgeting process.

Science and Technology Requirements Committee (STRC) - an avenue of communication for senior representatives of the various sponsors within the Office of the CNO to advise and offer specific recommendations to the Director, Test and Evaluation and Technology Requirements (N091) on questions relating to Navy Science and Technology.

Science and Technology Working Group - an avenue of communication for Navy research and development organizations to formulate and submit Navy Science and Technology advice and recommendations to the Science and Technology Requirements Committee (STRC). It is chaired by the Director, Test and Evaluation and Technology Requirements (N091).

Ship Characteristics Improvement Panel - assists and provides recommendations to the Resources and Requirements Review Board in those responsibilities pertaining to ship acquisition and improvement. This includes centralized formulation and coordination of the Navy's shipbuilding and conversion programs, Fleet Modernization Program (FMP), ship's characteristics determination for the active and reserve fleets and the planning, programming, and budgeting system necessary for the cost effective execution of these responsibilities.

Software Qualification Testing - post-Milestone III software testing conducted by an independent test agency for the purpose of determining whether a software product is approved for fleet release.

Standardization - a process used to achieve the greatest practicable uniformity of items of supply and engineering practices, to insure the minimum practicable variety of such items and optimum interchangeability of technical information, training, equipment parts and components.

Supportability - ensuring that support requirements are met by system introduction, and maintained throughout deployment, at or above formal threshold levels. Determining the most cost effective life-cycle cost, including the costs for information, infrastructure, and rapidly acquired and rapidly obsolete technology. Planned and executed concurrently with all other systems engineering, and a primary analysis consideration in

acquiring off-the-shelf alternatives.

T&E Coordination Group - a forum whose purpose is to coordinate and resolve more complex Navy T&E issues, including urgent TEMP changes. The forum is chaired by CNO (N912) and membership usually includes CNO staff, program manager (PM), OPTEVFOR Assistant Chief of Staff, ASN(RD&A) staff and others.

Test Integration Working Group - a forum whose purpose is to effect USMC T&E coordination.

Test Planning Working Group - a forum whose purpose is to discuss, coordinate and resolve Navy test planning goals and issues. The forum is chaired by the PM or the PM's designated representative. Membership is flexible but can include CNO representatives, SYSCOM T&E representatives, COMOPTEVFOR staff, ASN(RD&A) staff and contractors.

Threshold - the value of a baseline parameter that represents the minimum acceptable value which, in the user's judgment, is necessary to satisfy the need. If threshold values are not achieved, program performance is seriously degraded, the program may be too costly, or the program may no longer be timely.

Total Life-Cycle Cost of Ownership - life-cycle ownership cost includes the cost to develop, acquire, operate, support, and dispose of the system and the related logistics infrastructure. Total costs are determined when acquisition plans and strategies make trade-offs to optimize long-term logistics considerations. These trade-offs consider lowest total cost of ownership over the expected life-cycle.

Weapon System - an overarching term that applies to a host platform (e.g., ship, aircraft, missile, weapon), combat system, subsystem(s), component(s), equipment(s), hardware, firmware, software, or item(s) that may collectively or individually be a weapon system acquisition program (i.e., all programs other than information technology programs).

Appendix VIII

List of Acronyms

3-M	Maintenance and Material Management
ACAT	Acquisition Category
ACIP	Air Characteristics Improvement Panel
ACMC	Assistant Commandant of the Marine Corps
ACO	Administrative Contracting Officer
ACOS	Assistant Chief of Staff
ACT	Acquisition Coordination Team
ACTD	Advanced Concept Technology Demonstration
ADM	Acquisition Decision Memorandum
ADM	Advanced Development Model
AIS	Automated Information System
AO	Action Officer
AP	Acquisition Plan
APB	Acquisition Program Baseline
API	Acquisition Program Integration
ARB	Acquisition Review Board
ARE	Acquisition Reform Executive
AS	Acquisition Strategy
ASN(FM&C)	Assistant Secretary of the Navy (Financial Management and Comptroller)
ASN(I&E)	Assistant Secretary of the Navy (Installations and Environment)
ASN(M&RA)	Assistant Secretary of the Navy (Manpower and Reserve Affairs)
ASN(RD&A)	Assistant Secretary of the Navy (Research, Development and Acquisition)
ATC	Air Traffic Control
ATD	Advanced Technology Demonstration
BCR	Baseline Change Request
BIT	Built-In Test
BPR	Business Process Reengineering
C/SSR	Cost and Schedule Status Report
C3I	Command, Control, Communications, and Intelligence
C4I	Command, Control, Communications, Computers and Intelligence
CAIG	Cost Analysis Improvement Group
CAIV	Cost as an Independent Variable
CAO	Contract Administration Office
CARD	Cost Analysis Requirements Description
CARS	Consolidated Acquisition Reporting System
CBR	Chemical, Biological and Radiological
CCB	Contract Cost Baseline
CCDR	Contractor Cost Data Reporting
CCP	Consolidated Cryptologic Program
CFR	Code of Federal Regulations

CFSR	Contract Funds Status Report
CG	Commanding General
CINC	Commander in Chief
CIO	Chief Information Officer
CMC	Commandant of the Marine Corps
CNO	Chief of Naval Operations
COE	Concept of Employment
COI	Critical Operational Issue
COMMARCORSYSCOM	Commander, Marine Corps Systems Command
COMNAVSECGRU	Commander, Naval Security Group
COMNISMC	Commander, Naval Information Systems Management Center
COMOPTEVFOR	Commander, Operational Test and Evaluation Force
COTS	Commercial Off-the-Shelf
CPR	Cost Performance Report
DA	Developing Activity
DAA	Designated Approval Authority
DAES	Defense Acquisition Executive Summary
DASN	Deputy Assistant Secretary of the Navy
DBOF	Defense Business Operations Fund
DC/S	Deputy Chief of Staff
DFARS	Defense Federal Acquisition Regulation Supplement
DIA	Defense Intelligence Agency
DOD	Department of Defense
DON	Department of the Navy
DOT&E	Director, Operational Test and Evaluation
DRPM	Direct Reporting Program Manager
DT	Developmental Testing
DT&E	Developmental Test and Evaluation
DTIC	Defense Technical Information Center
DTSE&E	Director, Test Systems Engineering and Evaluation
EA	Evolutionary Acquisition
EAT	External Airlift Transportation
EC	Electronic Commerce
ECCM	Electronic Counter-Countermeasures
ECM	Electronic Countermeasures
EDI	Electronic Data Interchange
EMC	Electro-magnetic Compatibility
EMD	Engineering and Manufacturing Development
EMI	Electro-magnetic Interference
EMV	Electromagnetic Vulnerability
EO	Executive Order
EOA	Early Operational Assessment
ESH	Environmental, Safety, and Health
EW	Electronic Warfare
FAR	Federal Acquisition Regulation
FCT	Foreign Comparative Testing
FD	Failure Definition
FEA	Functional Economic Analysis
FIP	Federal Information Processing
FLTCINC	Fleet Commander in Chief

FMECA	Failure Modes, Effects, and Criticality Analysis
FMF	Fleet Marine Forces
FOT&E	Follow-on Operational Test and Evaluation
FYDP	Future Years Defense Program
FYMTP	Five Year Master Test Plan
GIDEP	Government-Industry Data Exchange Program
HERO	Hazards of Electromagnetic Radiation to Ordnance
HMCM	Hazardous Material Control Management
HQMC	Headquarters Marine Corps
HSI	Human Systems Integration
ICE	Independent Cost Estimate
IER	Initial Evaluation Report
ILS	Integrated Logistics Support
IM	Information Management
INSURV	(Board of) Inspection and Survey
IOC	Initial Operational Capability
IOT&E	Initial Operational Test and Evaluation
IPPD	Integrated Product and Process Development
IPT	Integrated Product Team
IR	Information Resources
IRM	Information Resources Management
IS	Information Systems
ISO	International Organization for Standardization
IT	Information Technology
JPD	Joint Potential Designator
JROC	Joint Requirements Oversight Council
JT&E	Joint Test and Evaluation
LBTS	Land-Based Test Site
LCC	Life-Cycle Cost
LFT&E	Live Fire Test and Evaluation
LIMSCOPE	Limitation to Scope of Testing
LORA	Level of Repair Analysis
LRIP	Low Rate Initial Production
LSA	Logistics Support Analysis
M&S	Modeling and Simulation
MAIS	Major Automated Information System
MAISRC	Major Automated Information System Review Council
MARCORSYSCOM	Marine Corps Systems Command
MARFOR	Marine Force
MC&G	Mapping, Charting and Geodesy
MCCDC	Marine Corps Combat Development Command
MCIC	Marine Corps Intelligence Center
MCO	Marine Corps Order
MCOTEA	Marine Corps Operational Test and Evaluation Activity
MCTSSA	Marine Corps Tactical Systems Support Activity
MDA	Milestone Decision Authority
MDAP	Major Defense Acquisition Program
ME	Manpower Estimate
METOC	Meteorology and Oceanography
MNS	Mission Need Statement

MOA	Memorandum of Agreement
MOE	Measure of Effectiveness
MOP	Measure of Performance
MOP	Memorandum of Policy
MOU	Memorandum of Understanding
MTBOMF	Mean Time Between Operational Mission Failure
NAE	(Department of the) Navy Acquisition Executive
NAPDD	Non-Acquisition Program Definition Document
NAPS	Navy Acquisition Procedures Supplement
NATO	North Atlantic Treaty Organization
NAVAIRSYSCOM	Naval Air Systems Command
NAVMAC	Naval Manpower Analysis Center
NAVSEASYSCOM	Naval Sea Systems Command
NCCA	Naval Center for Cost Analysis
NCTS	Naval Computer and Telecommunications Station
NDI	Non-Developmental Item
NDPC	National Disclosure Policy Committee
NEPA	National Environmental Protection Act
NIB	Not-to-Interfere Basis
NISMC	Naval Information Systems Management Center
NORAD	North American Air Defense Command
NPOC	Navy Point of Contact
NTP	Navy Training Plan
OA	Operational Assessment
O&S	Operating and Support
OASN	Office of the Assistant Secretary of the Navy
OMB	Office of Management and Budget
OPEVAL	Operational Evaluation
OPREP	Operational Report
OPSEC	Operations Security
OPTEVFOR	Operational Test and Evaluation Force
ORD	Operational Requirements Document
OSD	Office of the Secretary of Defense
OT	Operational Testing
OT&E	Operational Test and Evaluation
OTA	Operational Test Agency
OTC	Operational Test Coordinator
OTD	Operational Test Director
OTRR	Operation Test Readiness Review
OUSD(A&T)	Office of the Under Secretary of Defense (Acquisition and Technology)
PA&E	Program Analysis and Evaluation
PAPL	Preliminary Allowance Parts List
PAT&E	Production Acceptance Test and Evaluation
PDM	Program Decision Meeting
PDR	Program Deviation Report
PDREP	Product Deficiency Reporting and Evaluation Program
PEO	Program Executive Officer
PM	Program Manager
POA&M	Plan of Action and Milestones
PPBS	Planning, Programming and Budgeting System

PQDR	Product Quality Deficiency Report
PSA	Principal Staff Assistant
PTTI	Precise Time and Time Interval
QRA	Quick Reaction Assessment
R3B	Resources and Requirements Review Board
RADHAZ	Radiation Hazard
RD&A	Research, Development and Acquisition
RDC	Rapid Deployment Capability
RDT&E	Research, Development, Test and Evaluation
RFP	Request for Proposal
RO	Requirements Officer
ROD	Record of Decision
SAR	Selected Acquisition Report
SASCO	Security, Acquisition Systems Protection, Systems Security Engineering, Counter Intelligence, and Operations Security
SC	Scoring Criteria
SCIP	Ship Characteristics Improvement Panel
SECNAV	Secretary of the Navy
SECR	Standard Embedded Computer Resources
SEO	Software Executive Official
SEW	Space and Electronic Warfare
SIE	Standards Improvement Executive
SME	Subject Matter Expert
SPAWARSYSCOM	Space and Naval Warfare Systems Command
SPR	Software Problem Reports
SQT	Software Qualification Testing
STA	System Threat Assessment
STRC	Science and Technology Requirements Committee
STWG	Science and Technology Working Group
SYSCOM	Systems Command
T&E	Test and Evaluation
TACP	Technology Assessment and Control Plan
TD	Test Director
TECG	Test and Evaluation Coordination Group
TECHEVAL	Technical Evaluation
TEIN	Test and Evaluation Identification Number
TEMP	Test and Evaluation Master Plan
TIWG	Test Integration Working Group
TPD	Test Planning Document
TPWG	Test Planning Working Group
TR	Test Report
TSE&E	Test, Systems Engineering and Evaluation
TSP	Test Support Package
TTSP	Test Threat Support Package
UCR	Unit Cost Report
USC	United States Code
USD(A&T)	Under Secretary of Defense (Acquisition and Technology)
USMC	United States Marine Corps
USN	United States Navy

VAMOSC	Visibility and Management of Operating and Support Costs
VCNO	Vice Chief of Naval Operations
VIE	Visual Information Equipment
WBS	Work Breakdown Structure
WSA	Warfare Systems Architect
WSE	Warfare Systems Engineer

Part 8

SECNAVINST, OPNAVINST, and MCO Cancellations

The following SECNAV, OPNAV, and Marine Corps issuances are canceled by this instruction:

SECNAVINSTs/NOTICEs/MEMORANDUMs

Issuance	Subject
SECNAVINST 5000.2A,	"Implementation of Defense Acquisition Management Policies, Procedures, Documentation, and Reports," 12 Dec 92
SECNAVINST 5231.1C,	"Life Cycle Management Policy and Approval Requirements for Information System Projects," 10 Jul 92
SECNAVINST 5711.8A,	"Review of Legality of Weapons Under International Law," 29 Jan 88
ASN(RD&A) Memorandum,	"Review of Requests for Proposals (RFPs) and Contracts Prior to Solicitation and Award," 7 May 91
ASN(RD&A) Memorandum,	"Delegation of Authority," 4 Dec 92
ASN(RD&A) Memorandum,	"Milestone Decision Authority," 21 Jul 94
ASN(RD&A) Memorandum,	"Policy for Modeling and Simulation," 3 Jan 95
ASN(RD&A) Memorandum,	"Delegation of Approval Authority for Cost and Operational Effectiveness Analyses (COEA)," 20 Mar 95
ASN(RD&A) Memorandum,	"Milestone Decision Authority Delegation," 3 Jan 96
ASN(RD&A) Memorandum,	"Supportability Policy for Navy Implementation of Department of Defense Policy on Acquisition Reform," 14 Feb 96
ASN(RD&A)ARE Memorandum,	"Implementation Memo 95-1, Specifications and Standards Reform Metrics," 18 Jan 95
ASN(RD&A)ARE Memorandum,	"Implementation Memo 95-7, Specifications and Standards Reform Funding Status and Budget Requirements," 30 Jun 95

ASN(RD&A)ARE Memorandum, "Specifications and Standards Waiver Notification Process," 17 Aug 95

ASN(RD&A)ARE Memorandum,	"Specifications and Standards Waiver Notification Process," 21 Aug 95

OPNAVINSTs

Issuance	Subject
OPNAVINST 5000.42D,	"OPNAV Role and Responsibilities in the Acquisition Process," 19 Apr 93

Marine Corps Orders (MCOs)

Issuance	Subject
MCO 5000.22,	"Implementation of Defense Acquisition Management Policies, Procedures, Documentation, and Reports," 25 May 94
MCO 5000.11B,	"Marine Corps Policy for Test and Evaluation of Systems and Equipment," 21 Apr 94
MCO P5231.1C,	"Life Cycle Management for Automated Information Systems (LCM-AIS) Projects," 1 Nov 93

The following issuances were canceled by SECNAVINST 5000.2A of 12 Dec 92 and are included to summarize DON's ongoing acquisition and business management streamlining and reform efforts over the last 4 years:

Issuance	**Subject**
SECNAVINST 2410.1B,	"Electromagnetic Compatibility Program within Department of the Navy," 17 Oct 67
SECNAVINST 3080.1,	"Acquisition of Reliable Power Supplies," 28 Aug 89
SECNAVINST 3400.2,	"Design and Acquisition of Nuclear, Biological and Chemical (NBC) Contamination-Survivable Systems," 4 May 88
SECNAVINST C3430.2,	"Department of the Navy Policy Concerning Electronic Counter-Countermeasures (ECCM) in Electronic Systems (U)," 17 Jan 77
SECNAVINST 3900.37A,	"Rapid Development Capability for Warfare Systems," 27 Oct 71
NAVMATINST 4000.15A,	"Department of the Navy Data Management Program," 2 Feb 71
SECNAVINST 4120.19C,	"Use of Metric System of Measurement," 28 Sep 88
SECNAVINST 4120.20,	"Precise Time and Time Interval (PTTI) Planning, Coordination and Control," 4 Feb 86
SECNAVINST 4120.21,	"DoD Parts Control Program," 19 Mar 86
SECNAVINST 4120.22,	"Development and Use of Non-Government Specifications and Standards," 15 Aug 86
SECNAVINST 4120.23,	"Standard Hardware Acquisition and Reliability Program," 28 Aug 89
SECNAVINST 4130.2,	"Department of the Navy Configuration Management Policy," 11 May 87
SECNAVINST 4200.32,	"Design to Cost," 12 Jul 84
SECNAVINST 4200.33,	"Selection of Contractual Sources for DoN Defense Systems," 14 Jul 86
SECNAVINST 4210.6A,	"Acquisition Policy," 13 Apr 88

SECNAVINST 4210.7A, "Effective Acquisition of Naval Material," 16 Jan 87

Issuance	Subject
SECNAVINST 4210.9,	"Acquisition and Management of Technical Data and Computer Software," 25 Jan 88
SECNAVINST 4490.2,	"Transition From Development to Production," 13 Mar 87
SECNAVINST 4801.1B,	"Defense Production Management," 17 Mar 86
SECNAVINST 4855.1,	"Quality Assurance Program," 10 Sep 79
SECNAVINST 4855.2,	"Contract Requirements for Manufacturing Quality Data," 18 Dec 85
SECNAVINST 4855.4,	"Contractual Manufacturing Requirements," 28 Aug 89
SECNAVINST 4855.7,	"Department of the Navy Contractor Evaluation System," 28 Mar 88
SECNAVINST 4855.9,	"Hardware Teardown Program," 13 Mar 89
SECNAVINST 4858.2E,	"Department of the Navy Value Engineering Program," 6 Jul 84
SECNAVINST 5000.1C,	"Major and Non-Major Acquisition Programs," 16 Sep 88
SECNAVINST 5000.2,	"Major and Non-Major Acquisition Program Procedures," 1 Nov 88
SECNAVINST 5000.33B,	"Program Management Proposal Process," 12 Jan 87
SECNAVINST 5000.39A,	"Acquisition and Management of Integrated Logistics Support (ILS) for Systems and Equipment," 3 Mar 86
SECNAVINST 5200.37,	"Acquisition of Software-Intensive C2 Information Systems," 5 Jan 88
SECNAVINST 5219.2A,	"Technical Manual Program Management; Policies and Responsibilities for," 11 May 87
SECNAVINST 7000.14B,	"Economic Analysis and Program Evaluation for Navy Resource Management," 18 Jun 75
SECNAVINST 7000.15C,	"Contract Cost Performance, Funds Status and Cost/Schedule Status Reports," 17 Mar 80

SECNAVINST 7000.17C, "Contractor Cost/Schedule Performance Measurement For Selected Acquisitions," 26 Nov 86

Issuance	**Subject**
SECNAVINST 7000.19B,	"Department of the Navy Cost Analysis Program," 12 Mar 75
SECNAVINST 7000.20A,	"Contractor Cost Data Reporting (CCDR)," 25 Aug 86
SECNAVINST 7000.24,	"Reporting of Operating and Support Costs of Major Defense Systems," 15 May 86
SECNAVINST 7700.5E,	"Selected Acquisition Reports (SARs)," 11 Jan 84
SECNAVINST 7700.6,	"Unit Cost Reports (UCRs)," 21 Dec 83
ASN(RD&A) Memorandum	"Contract Cost Baselines (CCBs)," 18 Jan 91

The following instructions and memorandums were canceled by OPNAVINST 5000.42D of 19 Apr 93 and are included to summarize CNO's ongoing requirements and acquisition-related streamlining and reform efforts over the last 3 years:

Issuance	**Subject**
VCNO memorandum,	"Mission Need Statement (MNS)/Operational Requirements Document (ORD) Interim Guidance," Ser 09/1U501073, 24 Oct 91
OPNAVINST 1500.59,	"Surface Warfare Training System Acquisition Process and Responsibilities," 03 Jun 88
OPNAVINST 3900.22A,	"Rapid Development Capability for Warfare Systems," 31 May 74
OPNAVINST 3900.26B,	"DOD Food Research, Development, Testing and Engineering Program," 20 Jun 75
OPNAVINST 3900.28,	"Department of Defense Food and Nutrition Research, Development, Testing, Evaluation, and Engineering (RDTE&E) Program," 05 Nov 84
OPNAVINST 3910.21,	"Biomedical Research, Development, Test, and Evaluation (RDT&E) Requirements," 04 Apr 85
OPNAVINST 3960.10C,	"Test and Evaluation," 14 Sep 87
OPNAVINST 3960.11A,	"Policy and Responsibility for the Selection, Development, Acquisition Standardization, and Application of Automatic Test, Monitoring, and Diagnostic Systems and Equipment," 21 Jan 83
OPNAVINST 4120.4B,	"Precise Time and Time Interval (PTTI) - Planning Coordination and Control," 03 Feb 89
OPNAVINST 4130.1,	"Configuration Management of Software in Surface Ship Combat Systems; Policies Concerning," 02 Oct 75
OPNAVINST 4423.6,	"Spares Acquisition Integrated with Production (SAIP)," 21 Jun 89
OPNAVINST 5000.42C,	"Research, Development and Acquisition Procedures," 10 May 86
OPNAVINST 5000.49A,	"Integrated Logistic Support (ILS) in the Acquisition Process," 30 Jan 87
OPNAVINST 5200.28,	"Life Cycle Management of Mission-Critical

Issuance	Subject
	Computer Resources (MCCR) for Navy Systems Managed Under the Research, Development, and Acquisition (RDA) Process," 25 Sep 86
OPNAVINST 5420.104,	"Joint Requirements Oversight Council (JROC) Procedures," 22 Oct 90
OPNAVINST 11110.3,	"Planning and Acquisition of Military Health Facilities," 15 Aug 86

The following reporting requirements were canceled by OPNAVINST 5000.42D of 19 Apr 93 and were then exempt:

Report Symbol	Authorizing Document
OPNAV 3960-6	OPNAVINST 3960.10C
OPNAV 3960-7A	
OPNAV 3960-7B	
OPNAV 3960-8	
OPNAV 3960-9	
OPNAV 3960-11	
OPNAV 3960-12	
OPNAV 3960-13	
SECNAV 3900-1	OPNAVINST 3900.22B
OPNAV 3910-1	OPNAVINST 3910.21

The following Marine Corps Orders (MCOs) and policy statements were canceled by MCO 5000.22 of 25 May 94 and are included to summarize CMC's ongoing requirements and acquisition-related streamlining and reform efforts over the last 2 years:

Issuance	**Subject**
MCO P3900.13,	"Systems Engineering Manual," 24 Jan 91
MCO 4000.54,	"Marine Corps Computer-Aided Acquisition and Logistics Support," 25 Jan 90
MCO P4105.3,	"Integrated Logistics Support Manual," 28 Feb 90
MCO 4120.12,	"Marine Corps Metrication Program," 29 Sep 81
MCO P4130.8,	"Configuration Management Manual," 4 Jan 89
MCO 4855.2D,	"Marine Corps Quality Program," 2 Apr 87
MCO P5000.10C,	"Systems Acquisition Management Manual," 1 Apr 89
MCO 5000.15,	"Marine Corps Systems Acquisition Management Policy," 19 Feb 85
MCO 5000.16,	"Acquisition Streamlining," 13 Nov 86
MCO 5100.24,	"System Safety Engineering and Management," 26 Sep 79
MCO 5200.23A,	"Management of Mission-Critical Computer Resources in the Marine Corps," 30 Dec 86

MARCORSYSCOM Acquisition Policy Letter No. 92-01 5000/APL92.01 of 20 Mar 92

MARCORSYSCOM Acquisition Policy Letter No. 92-02 5000/APL92.02 of 1 Mar 92

Part 9

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